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ABSTRACT

Part of a study of the state-federal fiscal structure in developmental disabilities, the report presents detailed state-by-state expenditure data for FY 1977-84. The first section graphically presents expenditure data aggregated across the 50 states and the District of Columbia for the 8-year period. Six subsections in this first part present (1) comparisons of institutional and community services expenditures for the states and D.C.; (2) comparisons of mental retardation/developmental disabilities (MR/DD) expenditures on selected scales of state and national funding capacity; (3) revenue sources for MR/DD institutional services; (4) revenue sources for MR/DD community services (5) comparative utilization of federal intermediate care facilities for the mentally retarded (IFC/MR) reimbursements in institutional and community settings; and (6) daily expenditure and population trends in institutional services. Part 2, the bulk of the report, presents a 10-page chart series for each of the 50 states and the District of Columbia. Each series is accompanied by technical notes explaining state data sources and service system characteristics. Part 3 presents a series of charts depicting nationwide fiscal trends and service statistics in income maintenance and special education programs. (CL)

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PUBLIC EXPENDITURES
FOR
MENTAL RETARDATION AND
DEVELOPMENTAL DISABILITIES
IN THE UNITED STATES:
STATE PROFILES

-by-

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Evaluation and Public Policy Program
Institute for the Study of Developmental Disabilities
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December, 1984

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FOREWORD

This is the second report of the Institute's series of publications describing the state-Federal fiscal structure of the developmental disabilities field. It presents detailed state-by-state expenditure data for the FY 1977-84 period. Each state's graphic fiscal profile is accompanied by extensive technical notes describing the state's budget organization, and delineating precisely how the analysis of that state's expenditure record was accomplished.

The document contains an Introduction and three major parts. The Introduction overviews the MR/DD Expenditure Analysis Project, and summarizes the methodology utilized in this presentation of expenditure data over the FY 1977-84 period.

Part One, the United States Chart Series, graphically presents expenditure data aggregated across the 50 States and the District of Columbia for the eight year period. Each section of U.S. Charts is preceded by several paragraphs describing the charts within that section. The six sections in Part One are:

- Comparisons of Institutional and Community Services Expenditures for the Fifty States and the District of Columbia: FY 1977 - 1984
- Comparisons of MR/DD Expenditures on Selected Scales of State and National Funding Capacity
- Revenue Sources for MR/DD Institutional Services
- Revenue Sources for MR/DD Community Services
- Comparative Utilization of Federal ICF/MR Reimbursements in Institutional and Community Settings
- Daily Expenditure and Population Trends in Institutional Services

Part Two, the bulk of the document, presents a 10-page chart series for each of the 50 States and the District of Columbia. Each of these series is a state version of the United States charts presented in Part One. Each state-by-state chart series is accompanied by Technical Notes explaining state data sources and service system characteristics.

Part Three presents the Supplementary Chart Series, depicting nationwide fiscal trends and service statistics in income maintenance and special education programs. The programs included are Supplemental Security Income (SSI), Social Security Disability Insurance (SSDI), and Public Law 94-142. It is important to point out that unlike all fiscal data elsewhere in this reference document, nationwide expenditure figures for these three programs were obtained from the Federal Government and not from state sources.

Income Maintenance and special education data have not been integrated into the state-by-state profiles. These data are included for informational purposes as supplementary information because of the significant role the programs play in financing community services. Please consult Monograph Number Six in the Public Policy Monograph Series for an in-depth analysis of Federal MR/DD expenditures.

Finally, the reader should note that in many instances charted data are presented both in unadjusted and in constant dollars. Deflating expenditures measures fiscal growth in real economic terms. The source of the price deflator index was: Bureau of Economic Analysis, GNP Price Deflator Section, U.S. Department of Commerce.

ACKNOWLEDGEMENTS

The staff of this project, other than the listed authors, deserve credit for a job well done. Research assistants Larry Prebis and Steve Garcia are responsible for translating a 27,540-cell electronic spreadsheet of state-by-state expenditure data into over 1,000 easy-to-read computer graphics. Leslie Chapital, the Project Secretary, capably typed and helped edit this monograph. The vitality that Larry, Steve, and Leslie brought to the project represented an important contribution to the overall study.

An expression of special gratitude is due state MR/DD agency officials across the country. They reacted to and helped revise the initial fiscal data we extracted from their states' executive budget documents. Without their help, a study of this magnitude would simply not have been possible. With it, an important new source of data descriptive of MR/DD service systems in the United States has been created.

We also want to gratefully acknowledge the support of Dr. Jean K. Elder, Commissioner of the Administration on Developmental Disabilities, for sensing the potential contribution to the field of a study of this type and championing it within the Office of Human Development Services. The cooperation and assistance we received from Program Specialist Shirley Redmond of the Administration on Developmental Disabilities' Program Development Division was always timely and responsive.

The purpose of the ADD Special Grant authority, which provided our project with resources essential to the completion of the study, was to get important MR/DD projects started that could later be continued under other auspices. It is particularly gratifying to report that the National MR/DD Expenditure Data Base, begun with ADD's assistance, has been approved for funding through 1987 by the National Institute of Handicapped Research, U.S. Department of Education. We sincerely appreciate the help all ADD staff have given this study. Our continuing work in MR/DD expenditure analysis will be carried on in future years with gratitude for ADD's initial support.

David Braddock, Ph.D., Director
MR/DD Expenditure Analysis Project
December 28, 1984

PUBLIC EXPENDITURES FOR MENTAL RETARDATION AND DEVELOPMENTAL DISABILITIES IN THE UNITED STATES

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INTRODUCTION:

A DESCRIPTION OF THE NATIONAL MR/DD EXPENDITURE ANALYSIS PROJECT

The Evaluation and Public Policy Program at the Institute for the Study of Developmental Disabilities, University of Illinois at Chicago has completed a comprehensive analysis of MR/DD funding in the 50 states and the District of Columbia. In collaboration with the Council of State Governments, and supported in part by a 24-month project grant from the Administration on Developmental Disabilities, we have analyzed the record of MR/DD expenditures in the state executive budgets of each of the 50 states and the District of Columbia for the last eight years (FY 1977-84).

The primary purpose of the project has been to develop and test a methodology for accomplishing annual or biennial updates of MR/DD spending trends in the states and nationally. A second major purpose was to determine comparative funding levels and patterns for community and institutional services in the States.

ANALYTICAL PROCEDURES

The procedure utilized to obtain MR/DD state expenditure data had three steps. First, we obtained enough published state executive budgets to address the period of intended analysis: FY 1977-84. Most budget documents which were obtained reported expenditure figures for the preceding one or two fiscal years. Each budget document was inspected for relevant MR/DD expenditure data. Relevant sections of the budget were then duplicated and filed on a state-by-state basis.

The second step involved constructing a general "ledger" for each state using the same terminology employed by the state in the presentation of its executive budget. Again, the ledger covered the FY 1977-84 time period. To make analysis manageable, initial attention was focused on recapitulating summaries of the principal state agencies' expenditures for MR/DD state institutions and community programs. (The principal state agency is equivalent to the MR/DD division, usually in a Department of Mental Health and Mental Retardation.) Title XX, including Social Services Block Grant, and ICF/MR reimbursement data were also obtained. (Special education and SSI/SSDI funds are excluded from the state-by-state data analysis at this time; however, Part Three of the volume presents a separate national summary of expenditures for these important programs over the FY 1977-84 period.)

The third analytical step consisted of implementing a comparative analysis to determine which operating funds were deployed in the states for the provision of MR/DD Community Services; and which funds have been deployed to fund the operation of MR/DD Institutional Services. Community and Institutional expenditures were classified by the following revenue sources: State Funds, Federal Title XIX-ICF/MR funds, Title XX reimbursements, and Other Federal Funds. The published state budgets, of course, imperfectly break out community and institutional expenditure figures and revenue sources. This necessitated extensive contacts with state fiscal and program personnel to refine and verify expenditure figures. The state agencies with which we consulted included the medical assistance and social services bureaucracies, in addition to state mental health and developmental disabilities agencies.

After fiscal data from the 50 States and the District of Columbia were obtained and verified by the States, extensive graphics for each state were generated using a microcomputer-driven digital plotter. Technical notes were also prepared for each state, delineating specific analytic methods employed and the sources of all expenditure figures.

EXPENDITURE CATEGORIES OUTLINE

The following outline describes the expenditure lines we used to classify State-Federal expenditure data. The budget categories are underlined, and form the basic funding categories reflected in the analytical graphics produced for each state, the District of Columbia and the Nation.

INSTITUTIONAL SERVICES EXPENDITURES

STATE FUNDS
- General Fund
- Other State Funds

FEDERAL TITLE XIX-ICF/MR

FEDERAL TITLE XX(and Social Services Block Grant, FY 82 - 84)

OTHER FEDERAL FUNDS

COMMUNITY SERVICES EXPENDITURES

STATE FUNDS
- General Fund
- Private ICF/MR State or County Share
- Title XX (SSBG) State or Local Match
- Other State Funds

FEDERAL TITLE XIX-ICF/MR
- Private ICF/MR Federal Share
- State-operated ICF/MR Group Home Federal Share
- Community Care Waiver Federal Share

FEDERAL TITLE XX(and Social Services Block Grant, FY 82 - 84)

OTHER FEDERAL FUNDS

Each expenditure category listed above is described below, along with brief examples of variance in the states. Income maintenance (SSI/SSDI) and special education expenditures (P.L. 94-142) are excluded from the state-by-state analysis at the present time. However, Part Three of this Monograph presents nationwide expenditure figures for these important programs affecting community services.

BRIEF DESCRIPTIONS OF EXPENDITURE CATEGORIES

INSTITUTIONAL SERVICES EXPENDITURES

Institutional Services expenditures include state and federal funds for state-operated MR/DD institutions, developmental centers, training centers, state schools; and services for MR/DD persons served in distinct units of state psychiatric hospitals. Funds budgeted in institutional accounts supporting group homes and related services located in the community are considered Community Services expenditures. Institutional funds supporting group homes on institutional grounds are considered Institutional Services expenditures. In some states, employee benefits such as health insurance and payroll taxes are budgeted in a state agency outside the Principal MR/DD Agency (such as the Comptroller's Office or Department of Personnel). For institutional employees, these sums are included in the analysis as Institutional expenditures. Institutional services funds are classified into the following subcategories: State Funds (General Funds; Other State Funds), Federal Title XIX-ICF/MR, Federal Title XX/SSBG, and Other Federal Funds.

STATE FUNDS

GENERAL FUND: This subcategory includes funds annually or biennially budgeted by the state legislature as general revenue fund appropriations. Federal-Share ICF/MR reimbursements are analytically excluded. (These revenues are included below in the subcategory, Federal Title XIX-ICF/MR).

OTHER STATE FUNDS. This category includes Special or Dedicated Revenues, proceeds from the sale of goods or services at facilities; and resident and/or family payments towards the cost of care. In some states, state ICF/MR matching funds are accounted for separately from the principal MR/DD agency's General Fund appropriations (e.g. in a special matching account). The Project categorizes the money in such accounts as Other State Funds.

FEDERAL TITLE XIX-ICF/MR

This category consists of Federal share ICF/MR revenue which the state receives as reimbursement for providing services to retarded residents in Medicaid certified MR/DD Institutions, and in certified MR/DD units within psychiatric facilities.

FEDERAL TITLE XX (and Social Services Block Grant)

This includes Federal Title XX (Social Services), or, for FY '82 - FY '84, Social Services Block Grant (SSBG) Revenue which the State expends for MR/DD individuals.

OTHER FEDERAL FUNDS

States often report a variety of smaller Federal revenue sources, such as Vocational Education, ESEA Chapter I (P.L. 89-313), Foster Grandparents, Medicare (Title XVIII), and the School Lunch Program.

COMMUNITY SERVICES EXPENDITURES

Community Services expenditures include a variety of state budget lines for 1) purchase of services from community-based providers of habilitation, day training, residential or other programs; 2) regional center operations; 3) state staff assigned to community service oversight or development; 4) respite care services; and 5) case management expenditures. Community Services funds are classified into the following expenditure subcategories: State Funds (General Fund; Other State Funds; Private ICF/MR State or County Share; Title XX State or County Match), Federal Title XIX-ICF/MR, Federal Title XX/SSBG, and Other Federal Funds.

STATE FUNDS

GENERAL FUND. This subcategory includes the state's annually or biennially budgeted general revenue appropriations for the various community services expenditure items which the state's principal MR/DD agency manages. The States' matches for Title XX and for Title XIX-ICF/MR funds are usually appropriated as state General Funds. In addition to the community services funds which the state MR/DD agency manages, this category includes Private ICF/MR State Share expenditures, even if these facilities are managed by another state agency, such as a Department of Public Welfare, Social Services, or Medical Assistance.

OTHER STATE FUNDS. This category includes the Title XX or Title XIX state match when this match is provided by local/private/ county sources; or, by state agencies other than the MR/DD Principal State Agency (e.g. Departments of Welfare, Medical Assistance, Social Services). Title XIX and Title XX state matches--when these funds are budgeted by the Principal State Agency in a special account other than the General Fund--are also categorized here. Also included here are non-General Fund state revenue sources such as a state's special dedicated taxes; and client fees. If the state provides for a county share as a match to Federal ICF/MR reimbursements of private facilities, this is included in this category.

FEDERAL TITLE XIX-ICF/MR

This category includes Federal reimbursement for state-operated, but community-based, group homes. Also included is Title XIX Community Care Waiver reimbursement. (As noted above, the State Match to ICF/MR Group Homes or Waiver reimbursement is within the General Fund figures, unless this match is budgeted by another state agency, in which case it is included within the Other State Funds category.) If the state provides reimbursement to Private ICF/MR facilities, the Private ICF/MR Federal Share is categorized here.

FEDERAL TITLE XX(and Social Services Block Grant, FY 82 - 84)

This category includes federal revenues for social services programs which the State identifies as specifically serving MR/DD individuals. In FY 1982, the Federal Title XX Social Services Program was reorganized by the Federal Government as the "Social Services Block Grant." Thus, data for FY 1977-`81 reflect Title XX reimbursements; data for FY 1982-`84 show Block Grant expenditures identified by the state for MR/DD purposes.

OTHER FEDERAL FUNDS

This category includes Federal Developmental Disabilities (DD) Act funds when these monies are administered by the Principal State MR/DD Agency. Federal DD Act monies are not included in this category in states which administer DD Act funds through other state agencies, such as the Governor's Executive Office a Crippled Children's Bureau, etc. This category also includes Foster Grandparents, Chapter I, Vocational Education, School Lunch, and other relatively small Federal programs and special project grant funds.

ADDITIONAL DEFINITIONS

Principal State MR/DD Agency: The state department, agency, division, bureau, office or other administrative subdivision primarily responsible for planning, funding and managing institutional and community services to MR/DD persons (exclusive of income maintenance and special educational services). In most states the agency is the MR/DD Division within the state's Department of Mental Health and Mental Retardation. Some states, however, divide institutional and community services responsibility between two separate Departments. In cases such as these, the Principal State MR/DD Agency expenditure figures include both departmental components.

Capital Expenditures: Funds deployed for institutional construction or for non-routine renovation projects and equipment purchases in institutions are excluded. Bond issues or other capital initiatives in community services are excluded. However, "capital" costs included in reimbursement per diems, or in grants-in-aid to private community services providers which are for regular repair and maintenance, mortgage reimbursement, or lease/rental, are considered operational costs and are included in the analysis. Routine facility or campus repair and maintenance lines in institutional facility budgets are also considered operational expenditures and are included in the analysis.

Administration: Central office administration is excluded; regional, field service, area, or other local support offices providing community program development services are included; administrative services at state-operated institutions, such as superintendents' offices, are also included in the analysis.

PART ONE

UNITED STATES CHART SERIES

PART ONE

UNITED STATES CHART SERIES

The charts in Part One are representations of Institutional and Community Services expenditures in the United States as a whole (the 50 States and the District of Columbia, aggregated) and a series of rankings of the 50 States and D.C.

The "United States" charts reflect aggregated totals in the same expenditure and revenue categories utilized individually for each State and for D.C. In other words, our 51 analysis spreadsheets have been combined to calculate the national totals. There are ten pages of United States charts which are in exactly the same format and in the same order as the charts for each state and for D.C. which are found in Part Two of this monograph. (Additional U.S. Charts are included in this Section for the ICF/MR program which are not replicated State by State.)

The "Ranked-by-State" charts complement the United States charts by providing 51-state comparisons along several expenditure and revenue dimensions. The issues addressed include:

- Levels of FY 1977 and FY 1984 Institutional and Community Expenditures
- Revenue Sources for Institutional and Community Services
- Institutional Services Per Diem and Population Trends

Three comparative economic scales were employed to gauge MR/DD expenditures in the Nation and on a State-by-State basis. The scaies are Personal Income, Total State Budget, and General Population per capita expenditures. The scales show sums expended in the U.S. for MR/DD Institutional and Community Services per $100 of personal income; the percentage MR/DD expenditures respresent of the states' total budgets; and the average MR/DD expenditure for each citizen of the United States.

The 37 pages of charts in Part One are organized into six sections. At the beginning of each section there are brief descriptions of the charts to follow. The six sections are as follows:

SECTION A -- COMPARISONS OF INSTITUTIONAL AND COMMUNITY SERVICES EXPENDITURES FOR THE FIFTY STATE AND THE DISTRICT OF COLUMBIA: FISCAL YEAR 1977 THROUGH 1984. . .page 11

SECTION B -- COMPARISONS OF MR/DD EXPENDITURES ON SELECTED SCALES OF STATE AND NATIONAL FUNDING CAPACITY. . . page 25

SECTION C -- REVENUE SOURCES FOR MR/DD INSTITUTIONAL SERVICES . . page 43

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SECTION F -- DAILY EXPENDITURE AND POPULATION TRENDS IN INSTITUTIONAL SERVICES. . . . . page 71

SECTION A

COMPARISONS OF INSTITUTIONAL AND COMMUNITY SERVICES EXPENDITURES FOR THE FIFTY STATES AND THE DISTRICT OF COLUMBIA FISCAL YEAR 1977 THROUGH 1984

SECTION A

COMPARISONS OF INSTITUTIONAL AND COMMUNITY SERVICES EXPENDITURES FOR THE FIFTY STATES AND THE DISTRICT OF COLUMBIA: FISCAL YEAR 1977 THROUGH 1984

1. United States Comparative Annual MR/DD Expenditures for Institutional and Community Services, FY 1977 - 1984. . . . page 17

This chart and all others utilize the definitions of Institutional and Community Services which were provided in the Introduction. The chart is in two parts. At the top comparative, or cluster, bars demonstrate each year's expenditures--FY 1977 to 1984--in Unadjusted Dollars, for Institutional and Community Services. The bottom half of this chart represents the same expenditures, but adjusted to represent constant 1977 dollar values.

(Note: The source of information for the Adjusted, Constant 1977 Dollar values for this and all other Charts in this Monograph is the Bureau of Economic Analysis, GNP Price Deflator Section in the Commerce Department. There are several Sub-Indices for GNP Price Deflation. The "State and Local Sub-index" has been used throughout our analysis.

2. United States MR/DD Expenditures for Institutional Services/ Community Services: A Comparison of State and Federal Funding: FY 1977 - 1984. . . . . page 18

This chart, in Unadjusted Dollars, demonstrates the total annual Institutional (top half) and Community (bottom half) expenditures for the Eight Year period, FY 1977 to 1984. In addition, the bars are subdivided to indicate the comparisons, each year, of the State and Federal Funding sources supporting these total expenditures. As is the case with the other charts in this Monograph, the Fund or Revenue Sources considered are: State Funds; Federal ICF/MR Revenue; Title XX/Social Services Block Grant Revenue; and revenue from other, smaller Federal programs, such as PL 89-313, Foster Grandparents, etc., combined to form Other Federal Funds.

3. United States MR/DD Expenditures for Institutional and Community Services: A Comparison of State and Federal Funding, FY 1977 and 1984. . . . . page 19

This combination of four pie charts demonstrates the comparison of FY 1977 and FY 1984 funding configurations for Institutional and Community Services. The relative contributions of the various Federal revenue sources (Title XIX ICF/MR; Title XX/SSBG; Other Federal Funds) and State Funds can be compared. Below each of the four pie charts is the total expenditure figure for that year. For example, in FY 1977 $2.431 Billion for Institutional Services, and $744 Million for Community Services was spent by the 50 States and the District of Columbia.

4. United States Eight Year Total MR/DD Expenditures by Revenue Source: FY 1977 - 1984 (for Institutional Services and Community Services Funds). . . . . .page 20

This two-pie chart indicates, for Institutional and for Community Services, the Total (or Cumulative) expenditures during the eight-year period of our analysis (FY 1977 through 1984). Also indicated, for this total period, are the relative contributions of the major funding sources: State Funds; Federal Title XIX ICF/MR; Federal Title XX/SSBG; and Other Federal Funds. The eight-year total expenditures for Institutional and Community Services are $27.7 Billion and $14.3 Billion, respectively.

5. Institutional and Community Services Expenditures in the United States, Ranked by State:

   a. FY 1977. . . . . page 21
   b. FY 1984. . . . . page 22

These two charts represent, for FY 1977 and for FY 1984, the relative ranking of all the States and the District of Columbia in Institutional and Community expenditures. Each State's bar represents the year's total expenditures, and the bar is sub-divided to represent the relative expenditures in Institutional and Community Services. Because of the great variation in the sizes of the States, and therefore in MR/DD Expenditures, it is necessary to display the states in four groups, with four different Y-Axes to accommodate the vastly different expenditure levels (in FY 1984, ranging from over $1.0 Billion in New York, to slightly over $10.0 Million in Nevada). It should be noted that total annual MR/DD Expenditures for a State are compared here only to provide a context for other graphic representations--not as any implied quality differential--since states are vastly different demographically, economically and politically. A subsequent Section (B) of this document addresses the relative rankings of states.

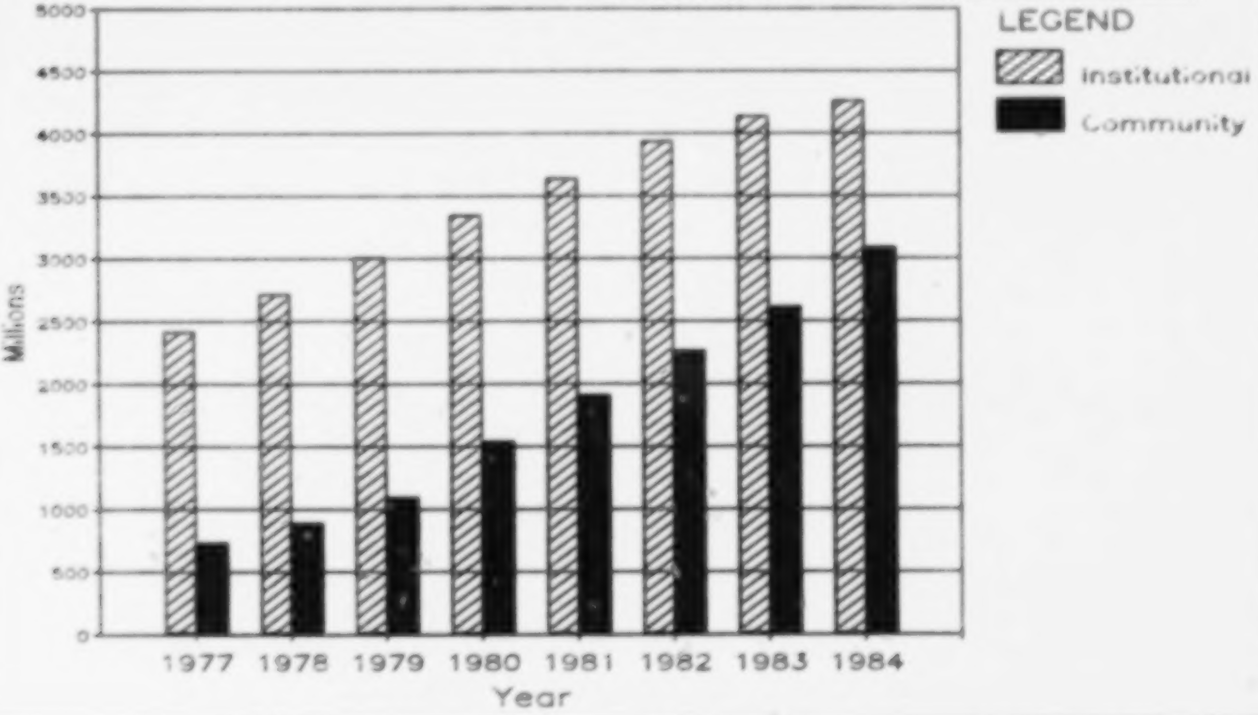
6. Institutional and Community Services Expenditures Expressed as Percentages of Total MR/DD Expenditures, Ranked by State:

a. FY 1977 and FY 1984. . . . . page 23
b. FY 1977 through 1984 (cumulative). . . . . page 24

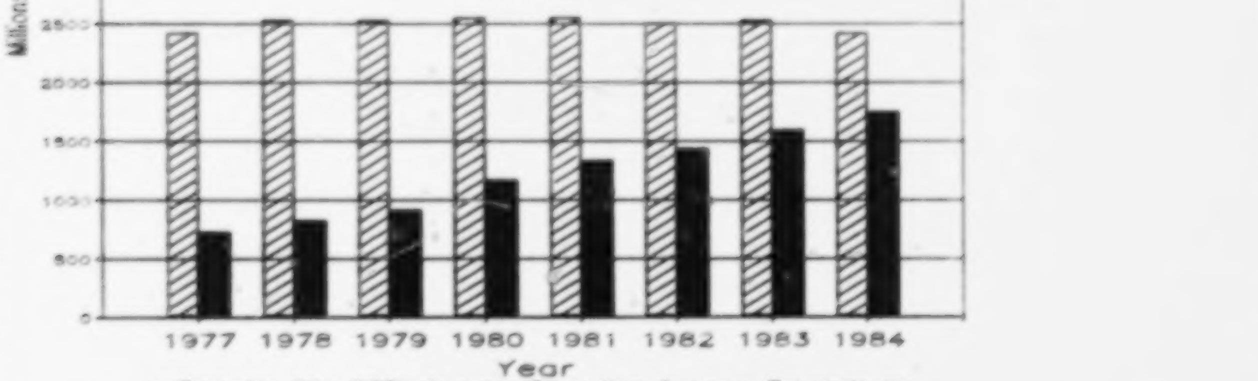
These two charts, one comparing FY 1977 and FY 1984 and one representing cumulative FY 1977-1984 expenditures, are presenting the relative expenditures in each state for Institutional and for Community Services, in selected time periods. Thus, the first chart compares FY 1977 (top) and FY 1984 (bottom) rankings of states, ranked (left to right) from the State (in FY 1977, Nevada) which spent the highest percentage of MR/DD monies for Community Services to the State (in FY 1977, Oklahoma) which spent the lowest percentage for Community Services. The second chart indicates the relative ranking of States based on their cumulative (eight-year total) expenditure patterns.

If all of the individual states' figures in the first chart were totaled, this would correspond to the totals on Chart #3 above (four-pie chart); while totaling the states' figures from the second chart would correspond to Chart #4 above (the two-pie chart.)

UNITED STATES
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



* Excludes SSI, SSDI, Special Education & Local Expenditures

Source Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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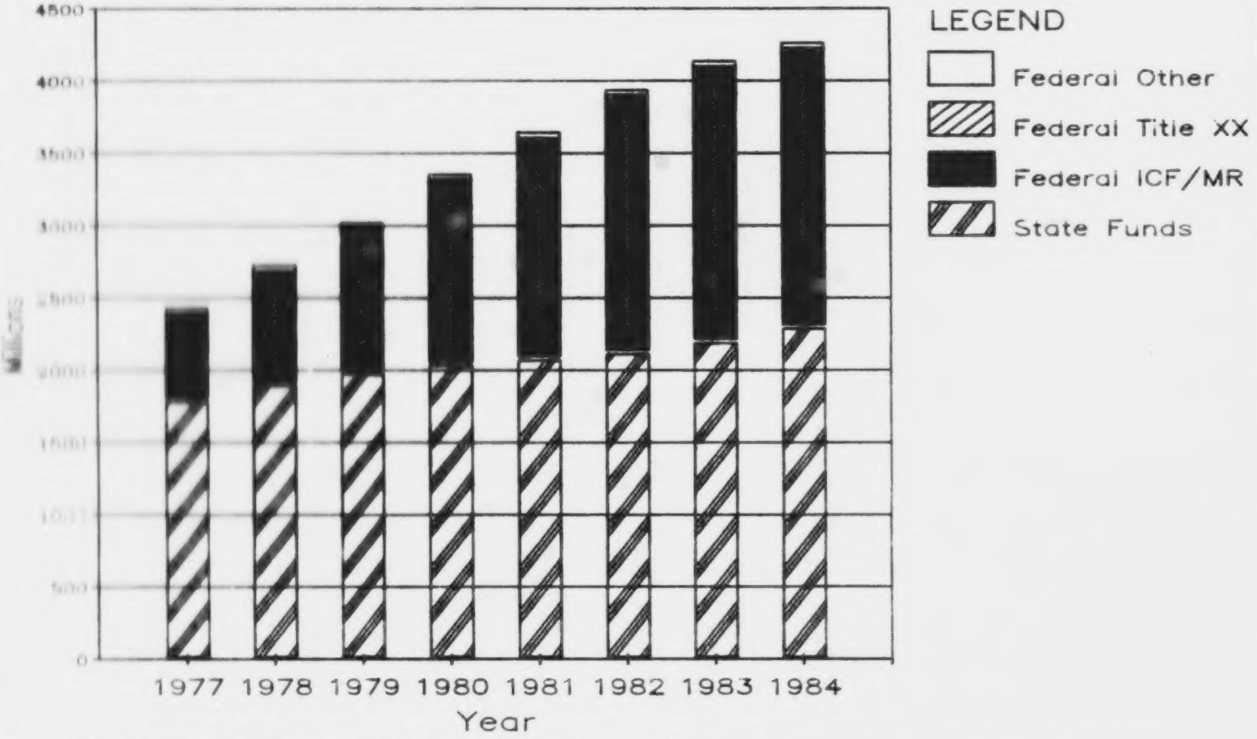
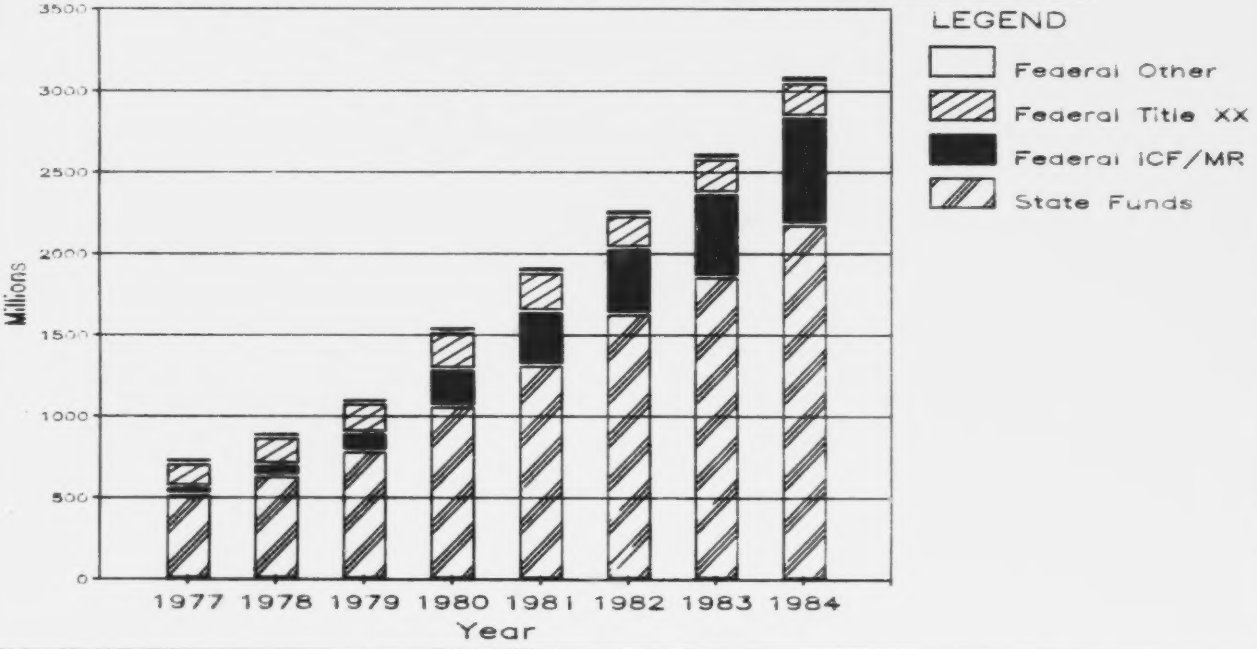
UNITED STATES

MR/DD Expenditures for ***Institutional*** Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



MR/DD Expenditures for ***Community**** Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



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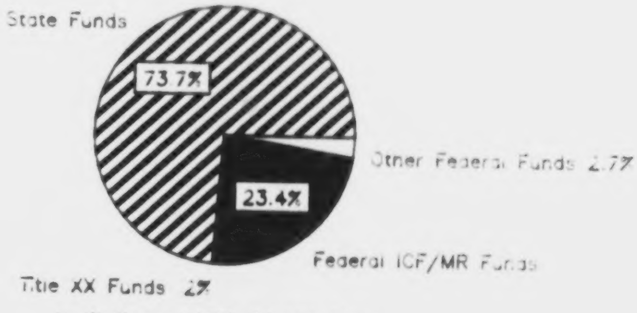
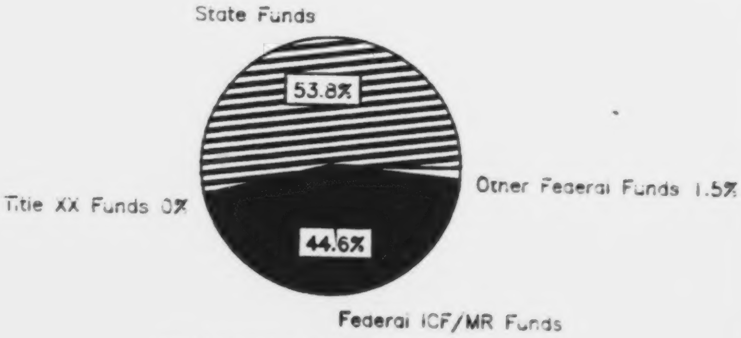
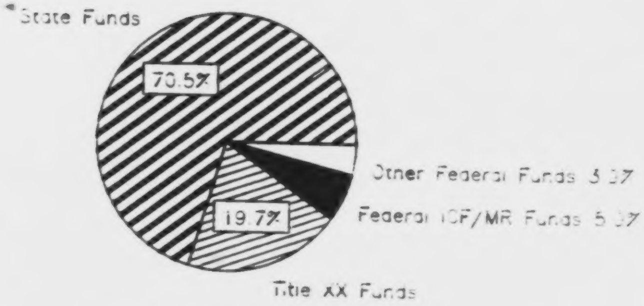
UNITED STATES
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



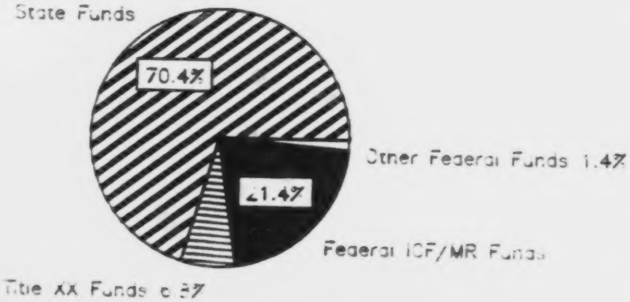
Institutional 1977: **$2.431** Billion



Institutional 1984: **$4.276** Billion



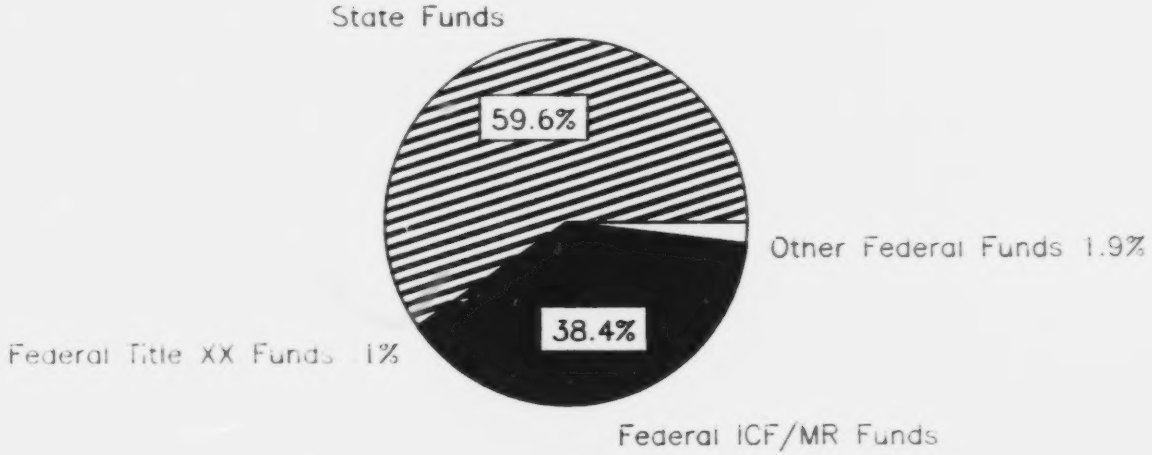
Community 1977: **$744** Million



Community 1984: **$3.099** Billion

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds. Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U. of IL at Chicago, 1984

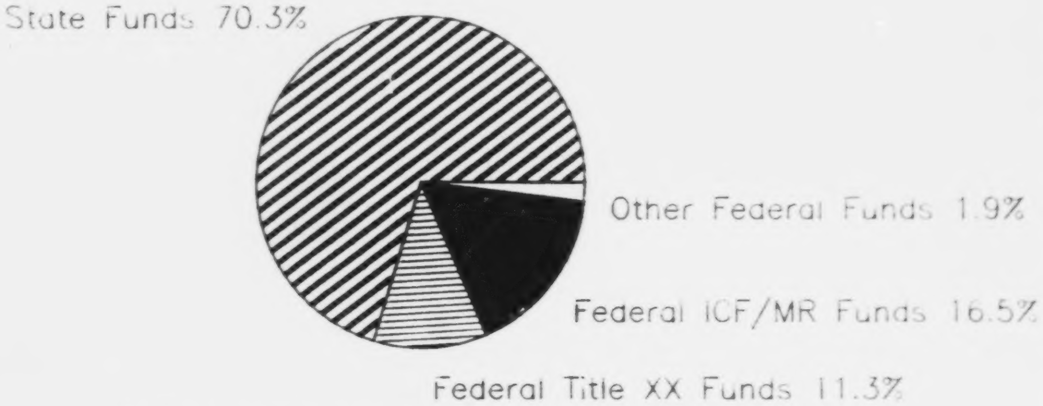
UNITED STATES
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Funds: 27.7 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



Total Community Funds: $14.3 Billion

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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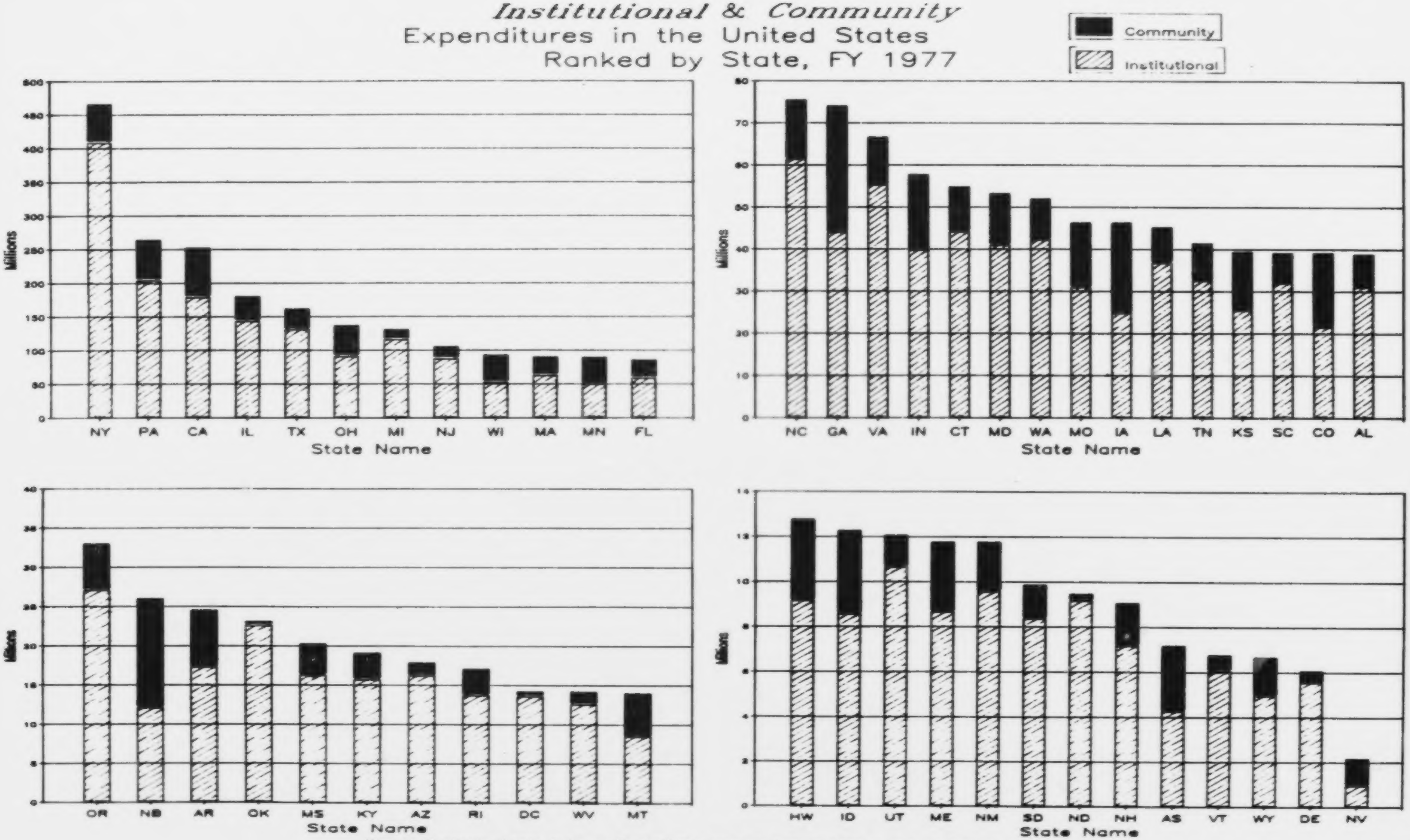

Institutional & Community
Expenditures in the United States
Ranked by State, FY 1977

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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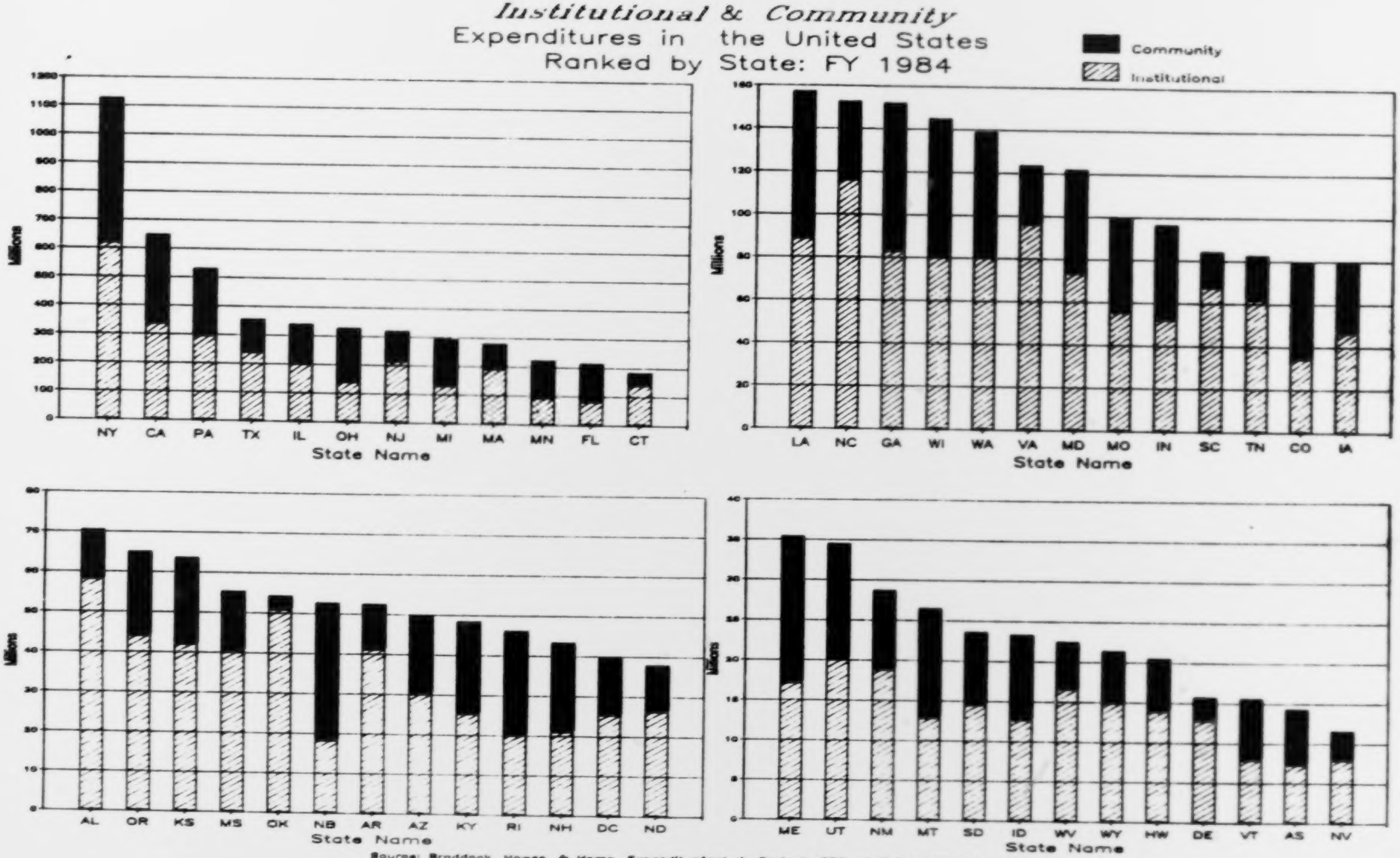

Institutional & Community
Expenditures in the United States
Ranked by State: FY 1984

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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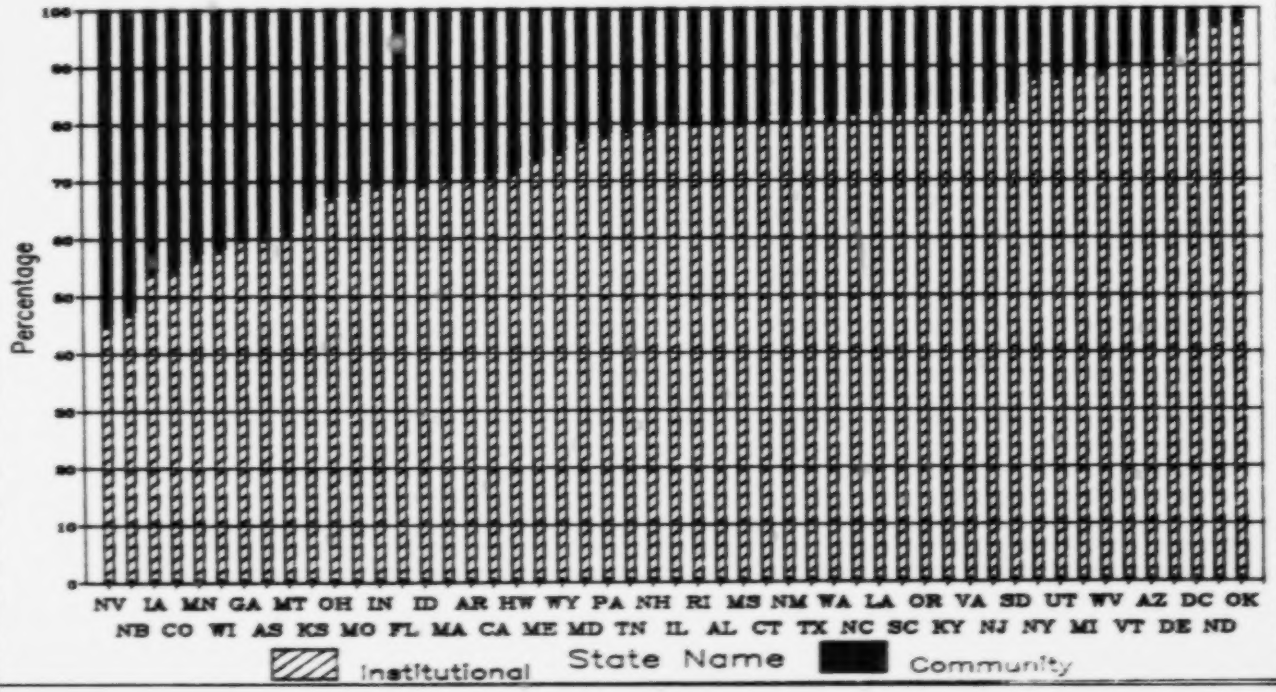
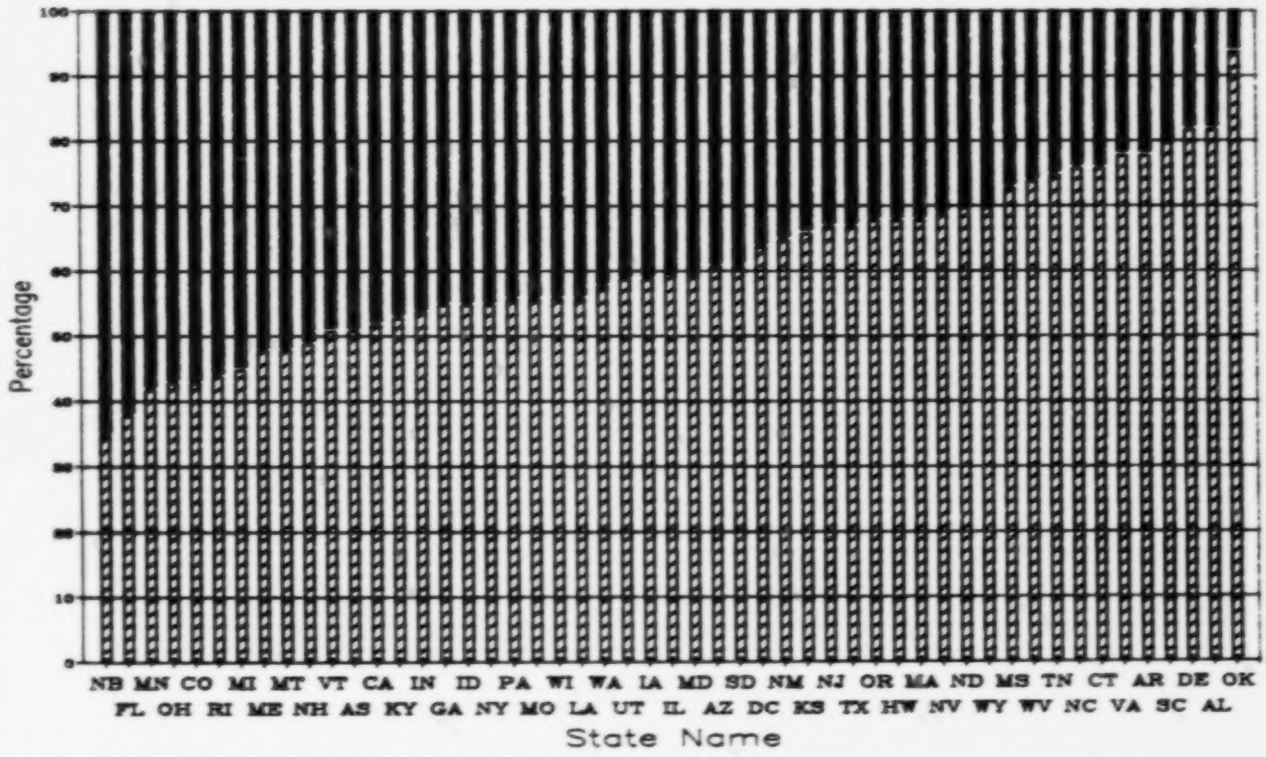
Institutional & *Community* Services Expenditures Expressed as Percentages of Total MR/DD Expenditures, Ranked by State:

FY 1977

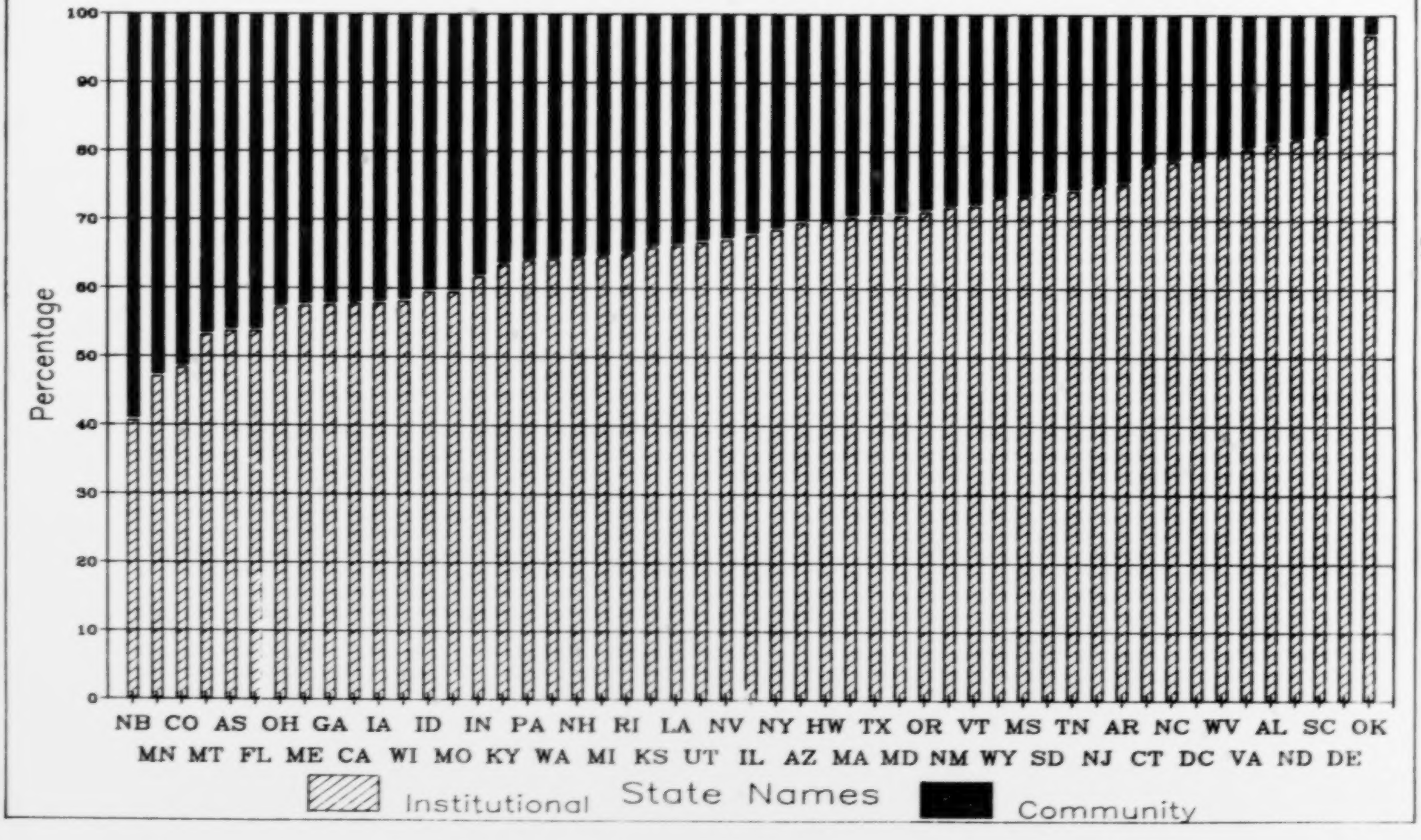


FY 1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Institutional & Community Services
Expenditures Expressed as Percentages of
Total MR/DD Expenditures, Ranked by State:
FY 1977–1984



SECTION B

COMPARISONS OF MR/DD EXPENDITURES ON SELECTED SCALES OF STATE AND NATIONAL FUNDING CAPACITY

SECTION B

COMPARISONS OF MR/DD EXPENDITURES ON SELECTED SCALES OF STATE AND NATIONAL FUNDING CAPACITY

1. United States MR/DD Expenditures for Institutional and Community Services as a Percentage of PERSONAL INCOME: FY 1977 - 1984. . . . . page 31

This chart is the first of a series which utilizes the MR/DD expenditure figures presented in Section A above, in combination with three other measures of over-all funding capacity (Personal Income, Total State Budget and General Population). In this chart, the United States' MR/DD expenditures (Institutional and Community) for each year (FY 1977 to FY 1984) are divided by the corresponding year's United States total Personal Income. The bottom half of the chart provides a reference line of each year's U.S. Total Personal Income (in Trillions of Dollars); an accompanying line on this bottom half adjusts the Personal Income figures in terms of constant dollars. One way to think of the percentage figures on this chart is to state that, in FY 1984, the average United States citizen spent 27 cents out of each $100 of his or her personal income for MR/DD services.

Source: The source of the information for the States' annual Personal Income figures is United States Department of Commerce, Bureau of Economic Analysis. The Bureau of the Census annual publication, Statistical Abstract, provided state-by-state 1976 to 1983 calendar year personal income figures. To calculate the FY 1977 MR/DD expenditure share per $100 of statewide personal income, 1976 calendar year personal income statistics were used; to calculate FY 1978 MR/DD share, calendar year 1977 personal income was used, etc.

["Personal income is the current income received by persons from all sources minus their personal contributions for social insurance. Classified as 'persons' are individuals (including owners of unincorporated firms), nonprofit institutions, private trust funds, and private noninsured welfare funds. Personal income includes transfers (payments not resulting from current production) from government and business such as Social Security benefits, military pensions, etc., but excludes transfers among persons. Also included are certain nonmonetary types of income--chiefly, estimated net rental value to owner-occupants of their homes and the value of services furnished without payment by financial intermediaries and food and fuel produced and consumed on farms." -- Statistical Abstract of the United States: 1984 (104th Edition), U.S. Department of Commerce, Bureau of the Census, p. 445.]

2. MR/DD Expenditures for Institutional and Community Services as a Percentage of PERSONAL INCOME, Ranked by State:

a. FY 1977. . . . . page 32
b. FY 1984. . . . . page 33

These two charts, one for FY 1977 and one for FY 1984, utilize the same MR/DD expenditure and the same Personal Income data as were described in Chart #1 preceding. However, here each State's MR/DD Institutional percentage and Community percentage is represented within a sub-divided bar (Institutional percentage on the bottom), and the bars are ranked from highest percentage to lowest over-all Institutional plus Community percentage.

Thus, in FY 1984, North Dakota ranks highest, in spending nearly .35% of Personal Income for Institutional Services; nearly .15% for Community Services; or, a total of nearly .50% of State Total Personal Income for MR/DD Services. Another way of explaining the North Dakota example is: in FY 1984, North Dakota citizens on the average spent 35 cents of each $100 of their personal income on Institutional Services; 15 cents on Community Services; and nearly 50 cents on total MR/DD Services in the State.

(Note: When we make these comparisons, Federal fund sources are included in our MR/DD Expenditure model; therefore, each State's MR/DD expenditure figures include revenue which in fact is contributed in Federal taxes by U.S. citizens as a whole. Therefore, we are representing here the effect of both State and National expenditures on the MR/DD citizens within a given state, for those services which are administered by that State's MR/DD Principal State Agency.)

3. MR/DD Expenditures for Institutional/Community Services as a Percentage of PERSONAL INCOME, Ranked by State: FY 1984. . .page 34

Utilizing the same MR/DD expenditure and personal income data as in the charts preceding, this chart indicates how states are ranked in FY 1984 for Institutional and Community Services, respectively, in the expenditure of MR/DD funds as a percentage of personal income. This chart indicates how States may rank differently on institutional or community services, rather than how they rank on over-all MR/DD expenditures.

4. United States Relative Growth of MR/DD Expenditures for Institutional and Community Services as a Percentage of the TOTAL STATE BUDGET: FY 1977 - 1983. . . . . page 35

The second measure, or scale, by which to compare States' relative expenditures for MR/DD Institutional and Community services is to express these expenditures as a percentage of the Total State Budget. The Total State Budget is measuring the State's total outlay for all services, and represents not only State Funds but also the various Federal funding sources supplementing the State's expenditures.

As with the Personal Income United States Chart, this chart aggregates the MR/DD Institutional and Community Services for the 50 States and the District of Columbia. The Total State Budgets from all states are also aggregated (for D.C., Federal Funds and "own-source" funds are considered). The bottom of this Chart indicates the total values of the aggregated Total State Budgets, expressed both in unadjusted and in adjusted terms.

Source: The source of information for Total State Budget figures is U.S. Department of Commerce, Bureau of the Census, as published in State Government Finances, Table 9,"State Government Expenditure by Type and Function."

5. MR/DD Expenditures for Institutional and Community Services as a Percentage of the TOTAL STATE BUDGET, Ranked by State:

a. FY 1977. . . . . page 36
b. FY 1983. . . . . page 37

Utilizing the same MR/DD Expenditure figures and the same Total State Budget figures as utilized in the chart preceding, these two charts, for FY 1977 and for FY 1983, provide rankings of the States in terms of their total annual MR/DD Expenditures as percentages of the corresponding years' Total State Budget figures. The relation of Institutional to Community Services expenditures is indicated by sub-divisions of each state's bar on the graph.

6. MR/DD Expenditures for Institutional/Community Services as a Percentage of the TOTAL STATE BUDGET, Ranked by State: FY 1983. . . . . .page 38

This chart provides the individual rankings for Institutional and for Community Services, respectively, in FY 1983, on the scale: MR/DD Expenditures as a percentage of Total State Budget.

7. United States MR/DD Expenditures for Institutional and Community Services PER CAPITA: FY 1977 - 1984. . . . . .page 39

A third way to scale MR/DD Expenditures for the 50 States and the District of Columbia is to indicate the average expenditure per capita, or per citizen of the general population of each State, and of the Nation as a whole. For example, this United States Chart indicates that, for FY 1984, the 233.8 million citizens of the U.S. each spent an average of $31.55 per year for MR/DD services ($18.29 per year for Institutional Services and $13.25 per year for Community Services). The bottom half of this chart indicates the U.S. General Population for each of the years of our analysis.

Source: The source of information for general population figures in each State is: a) U.S. Department of Commerce, Bureau of the Census, 1980 Census of Population (for FY 77 - 81); b) U.S. Department of Commerce, Bureau of the Census, "Population Estimates and Projections," Current Population Reports, Series P-25, No. 944, January, 1984 (for FY 82 - 84).

8. MR/DD Institutional and Community Services Expenditures PER CAPITA, Ranked by State:

   a. FY 1977. . . . . page 40
   b. FY 1984. . . . . page 41

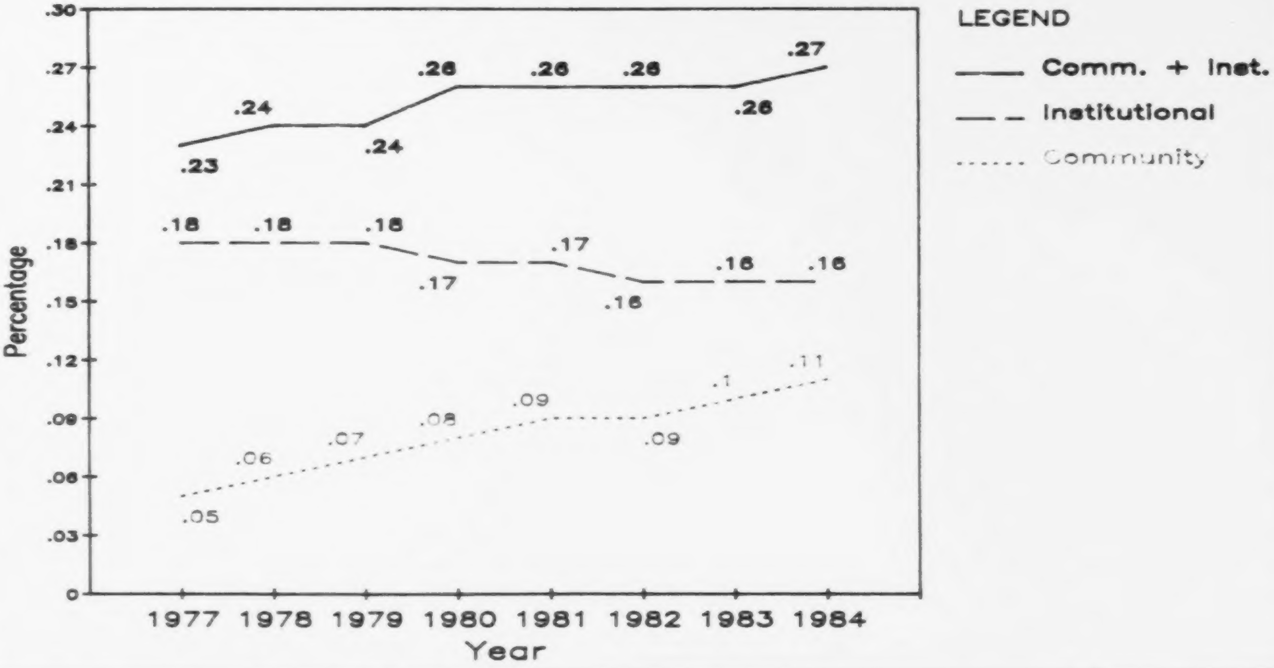
Utilizing the same MR/DD expenditure and General Population figures as described in Chart #7 preceding, these two charts provide FY 1977 and FY 1984 rankings of the states on the scale of MR/DD Expenditures Per Capita. The Institutional Services and Community Services shares of these MR/DD Expenditures are represented by subdivisions of each State's bar on the charts.

9. MR/DD Institutional/Community Services Expenditures PER CAPITA, Ranked by State: FY 1984. . . . . page 42

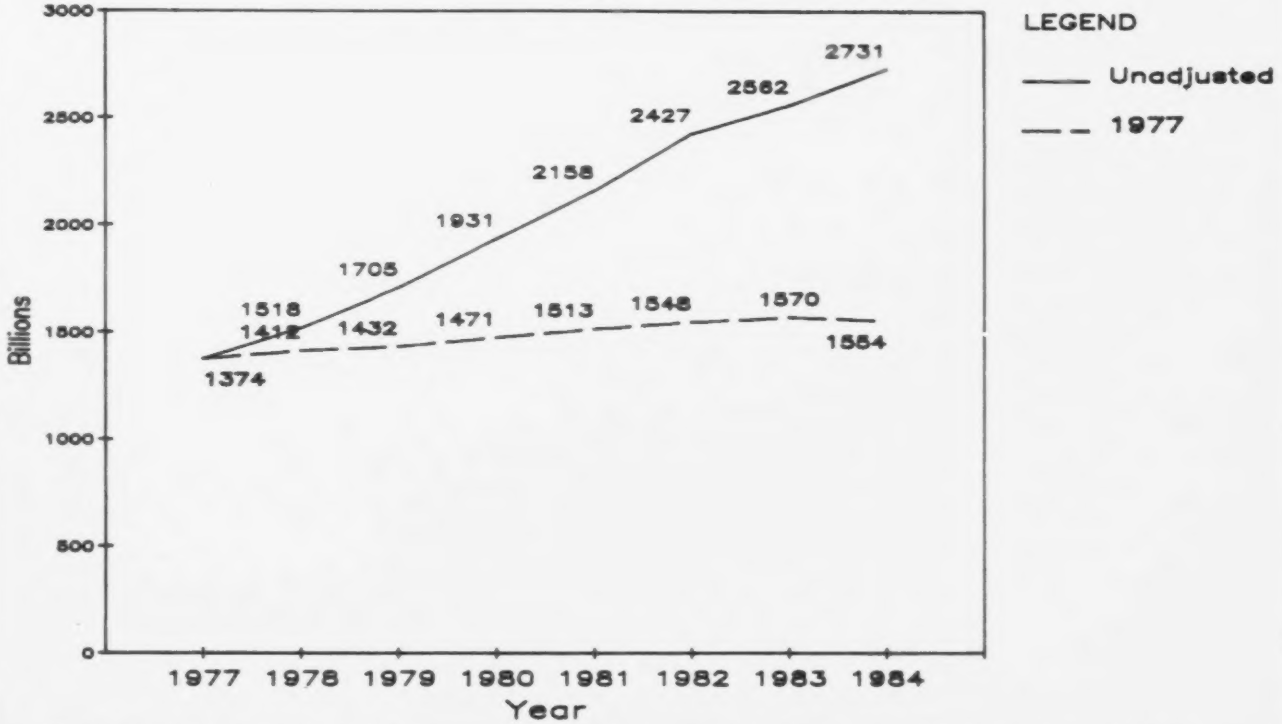
This chart utilizes the same data as in three PER CAPITA charts preceding, but provides, for FY 1984, separate rankings of the States for Institutional Services and for Community Services.

UNITED STATES

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984

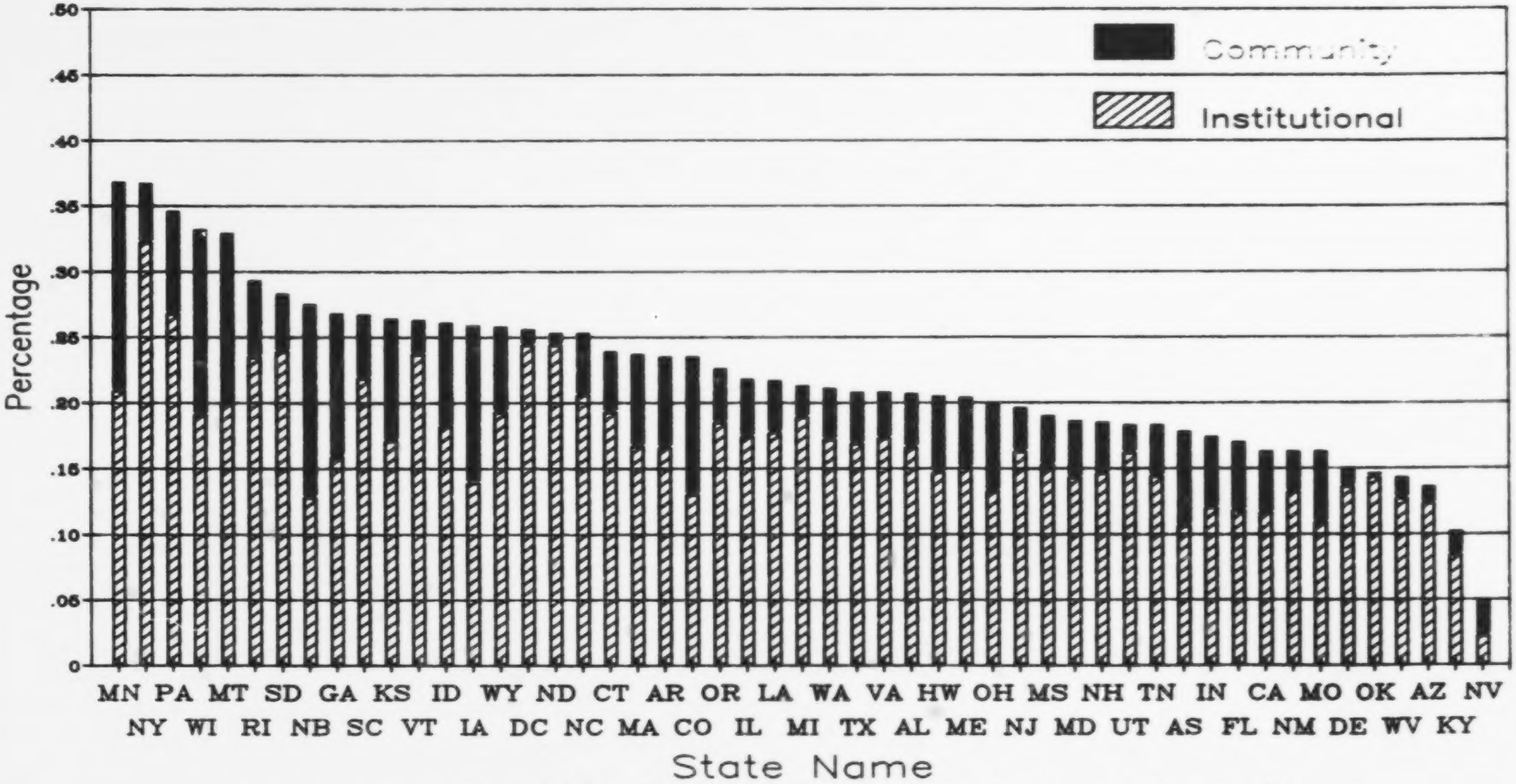


Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UNITED STATES
MR/DD Expenditures for *Institutional* & *Community** Services as a Percentage of Personal Income, Ranked by State: FY 1977



* Excludes SSI, SSDI, Special Education & Local Expenditures

Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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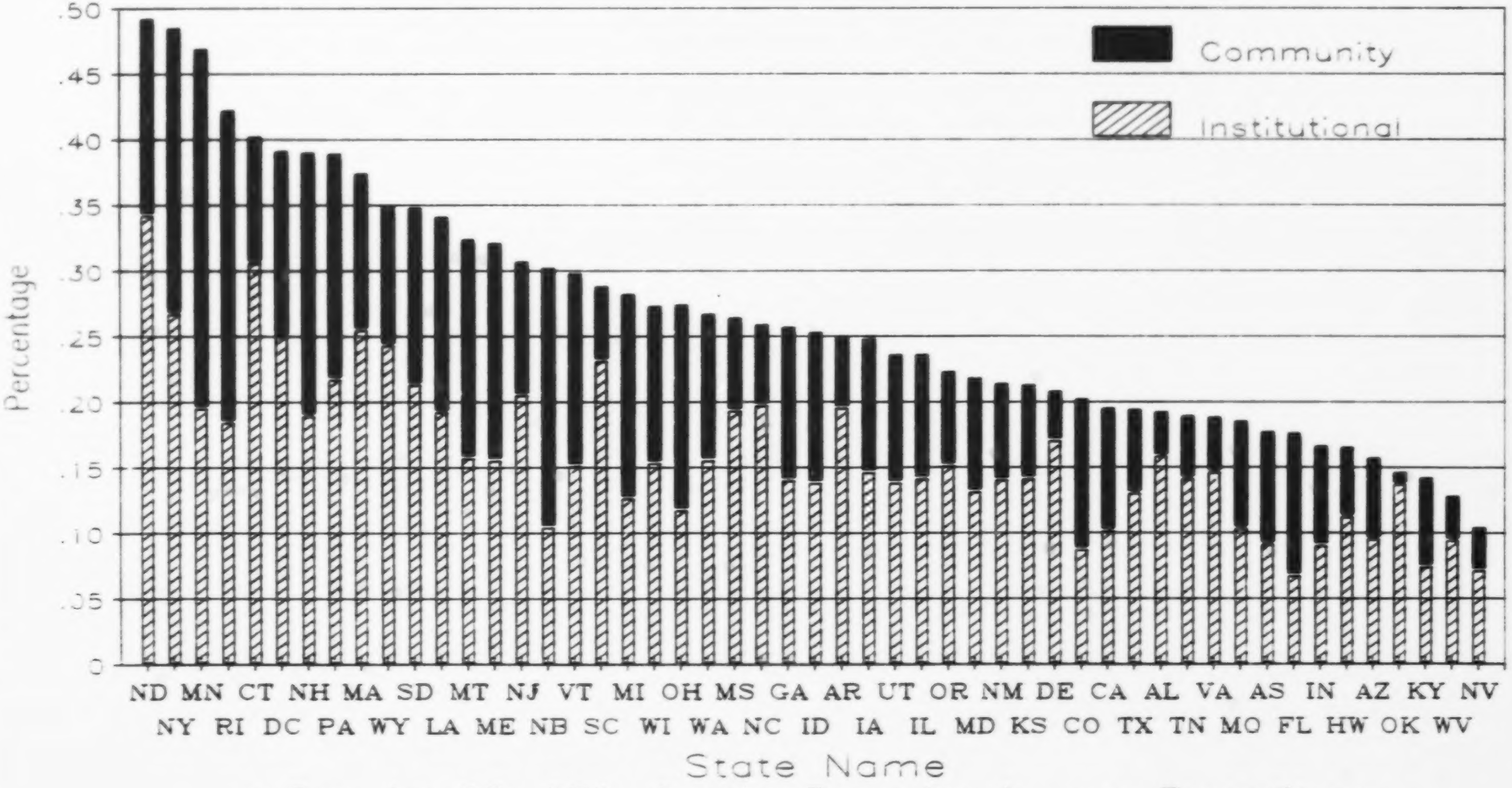
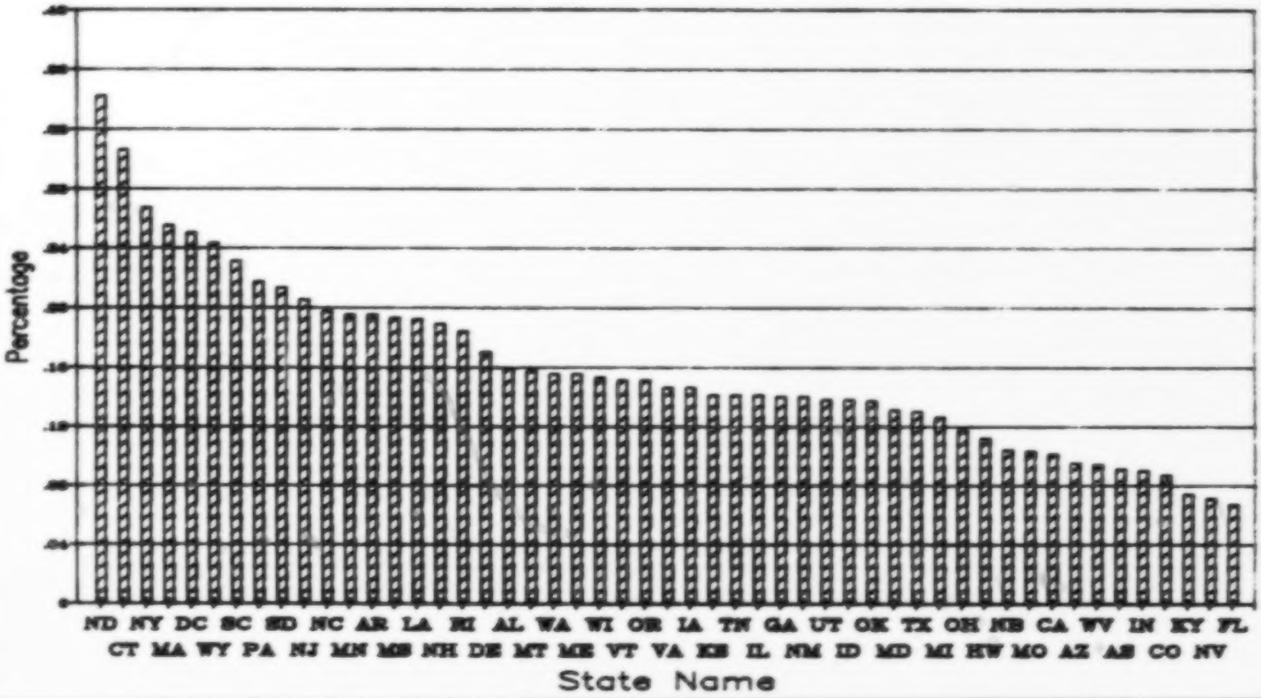
UNITED STATES
MR/DD Expenditures for *Institutional* & *Community** Services as a Percentage of Personal Income, Ranked by State: FY 1984



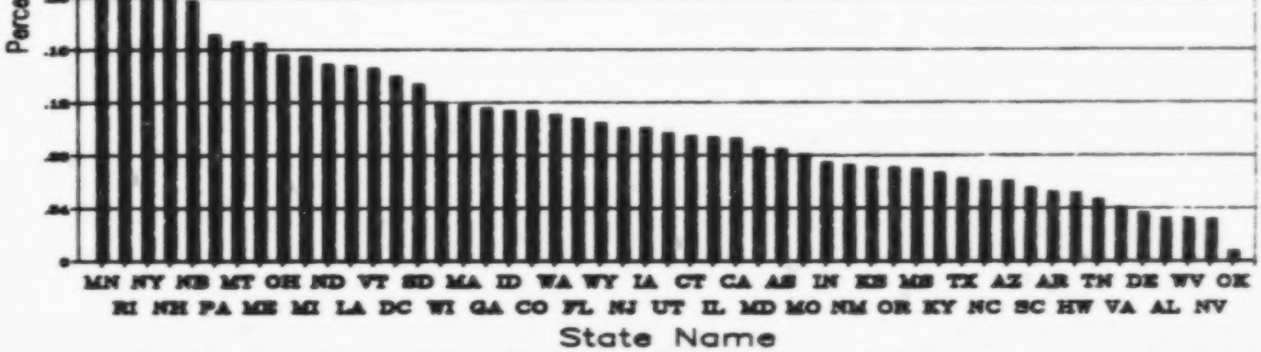
* Excludes SSI, SSDI, Special Education & Local Expenditures

Source: Braddock, Howes, & Hemp. Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MR/DD Expenditures for Institutional Services as a Percentage of Personal Income, Ranked by State: FY 1984



MR/DD Expenditures for *Community** Services as a Percentage of Personal Income, Ranked by State: FY 1984

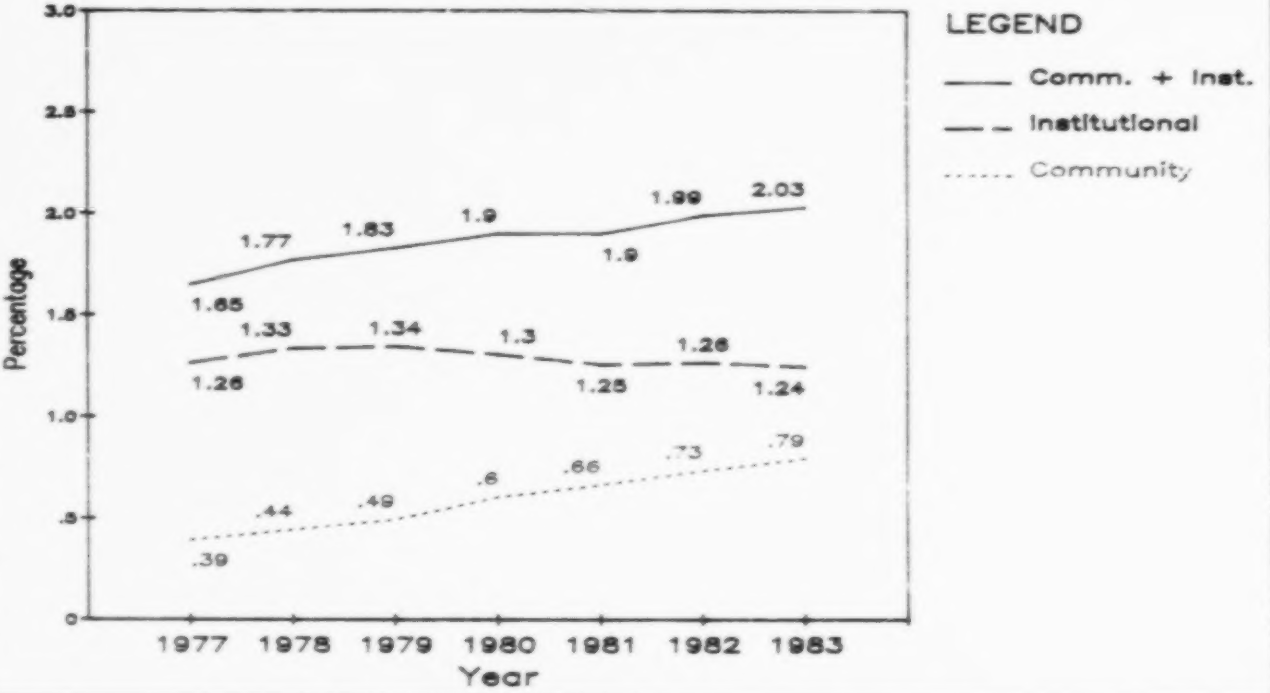


* Excludes SSI, SSDI, Special Education & Local Expenditures

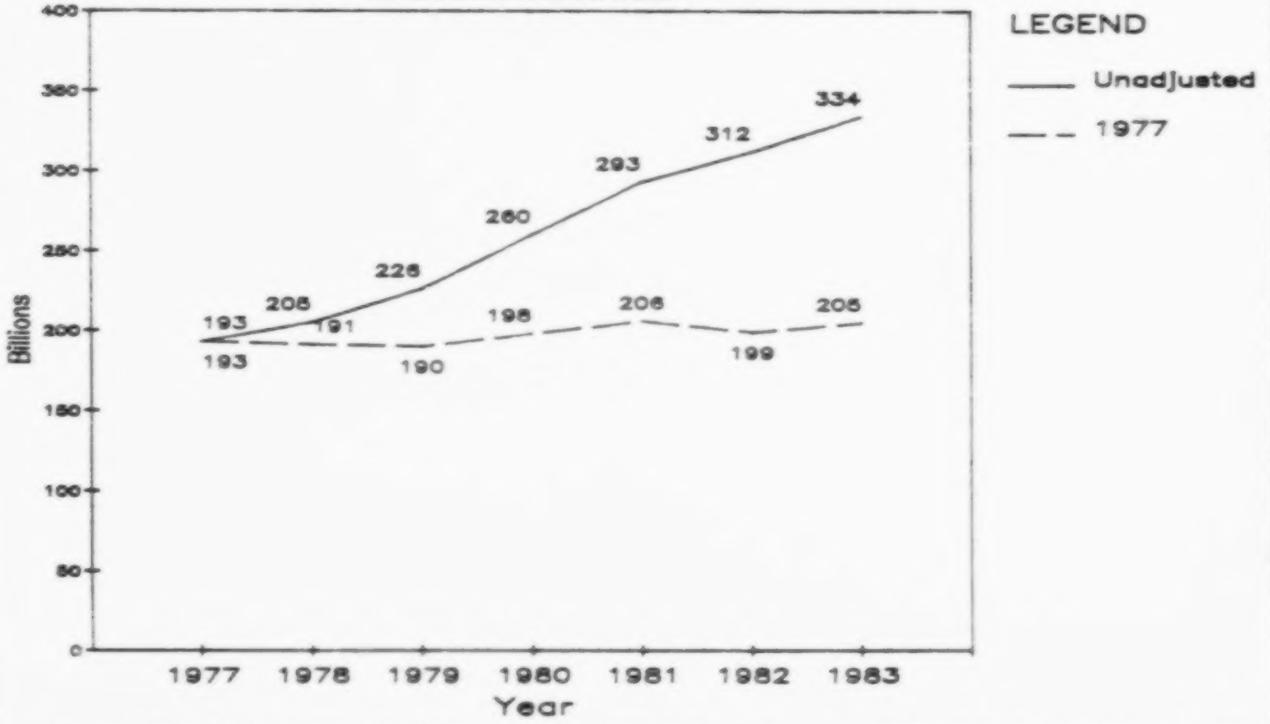
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UNITED STATES

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–83

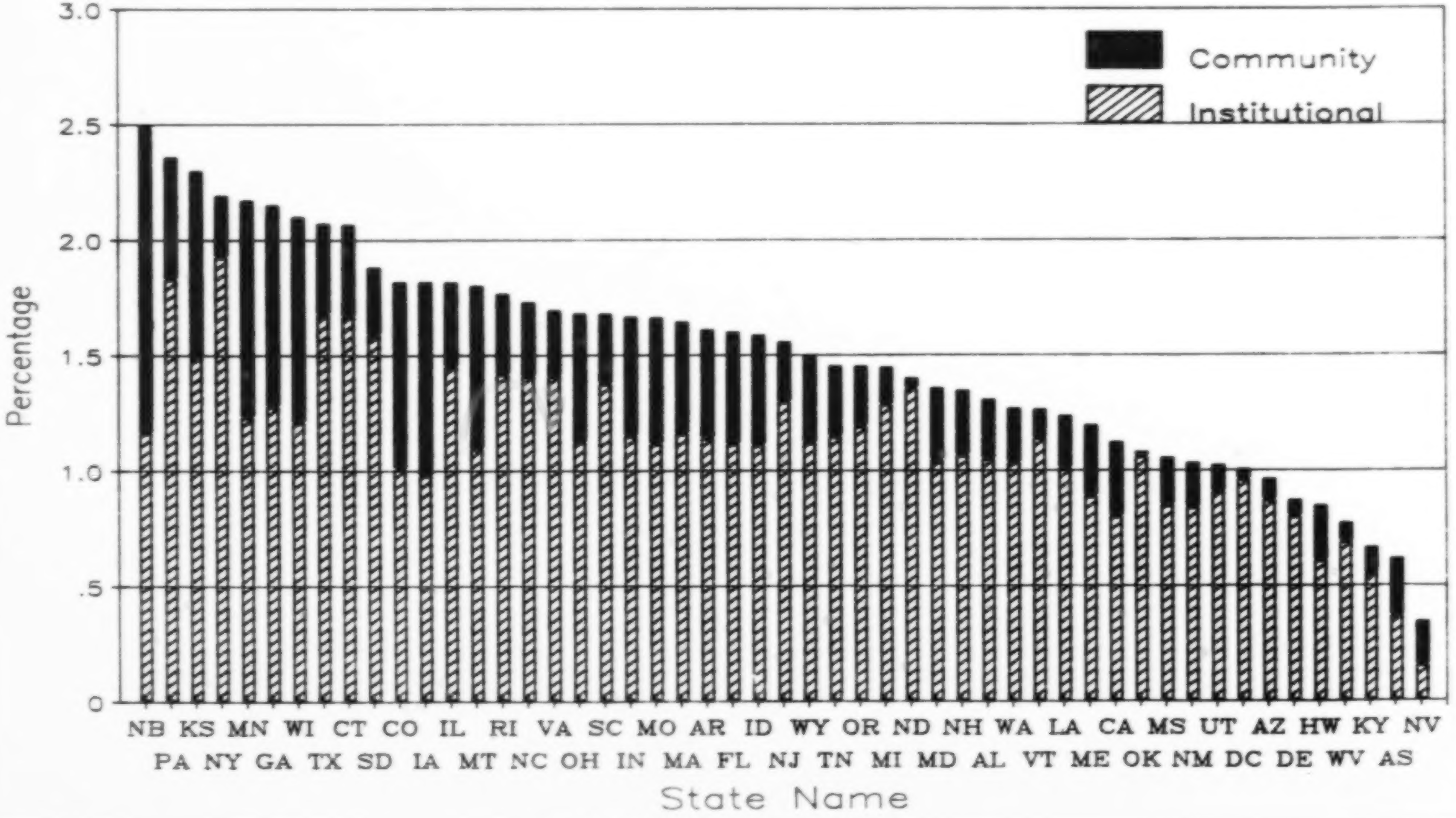


The Total State Budget Expressed in *Unadjusted* and *1977 Dollars*: FY 1977–83

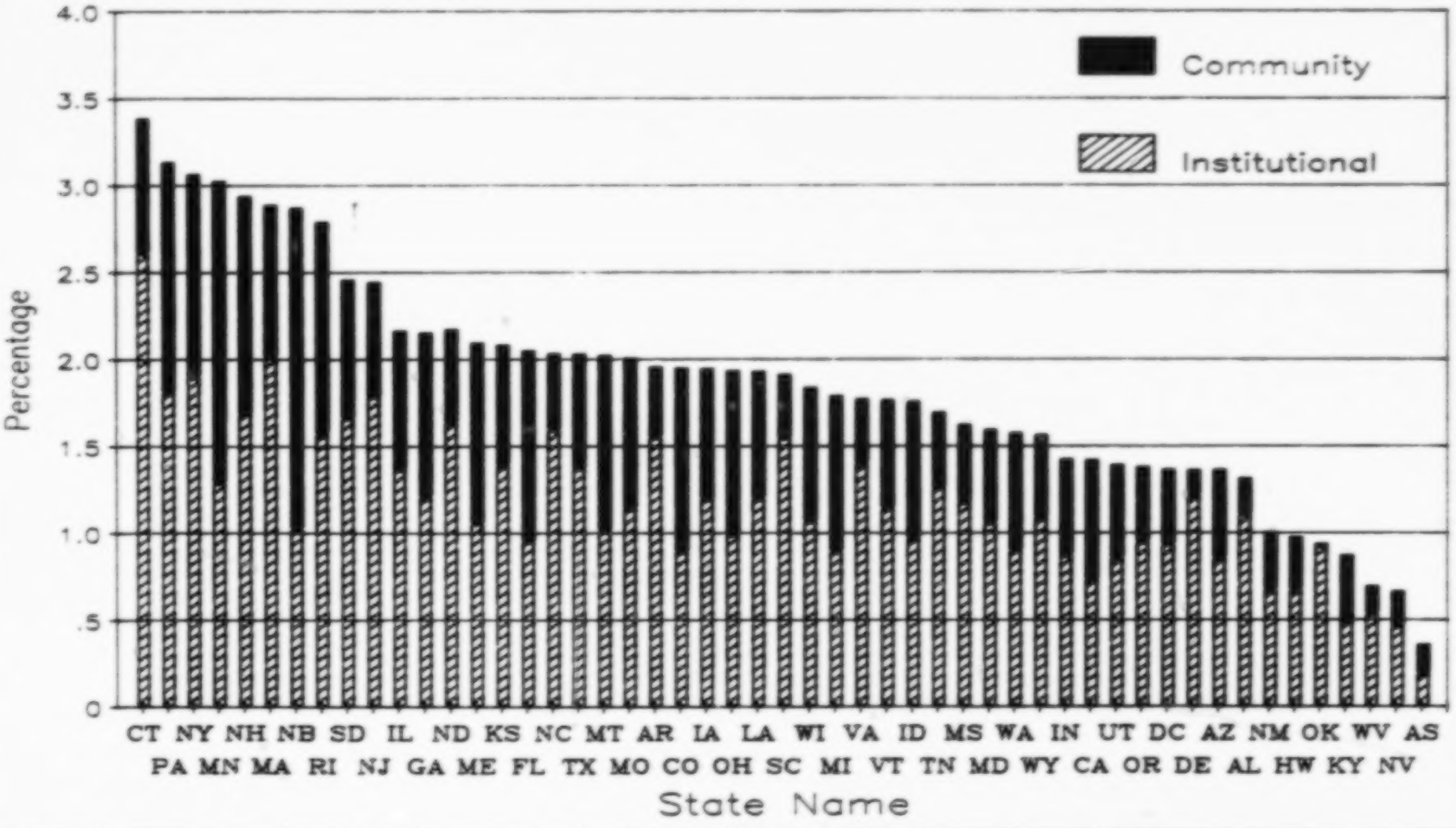


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

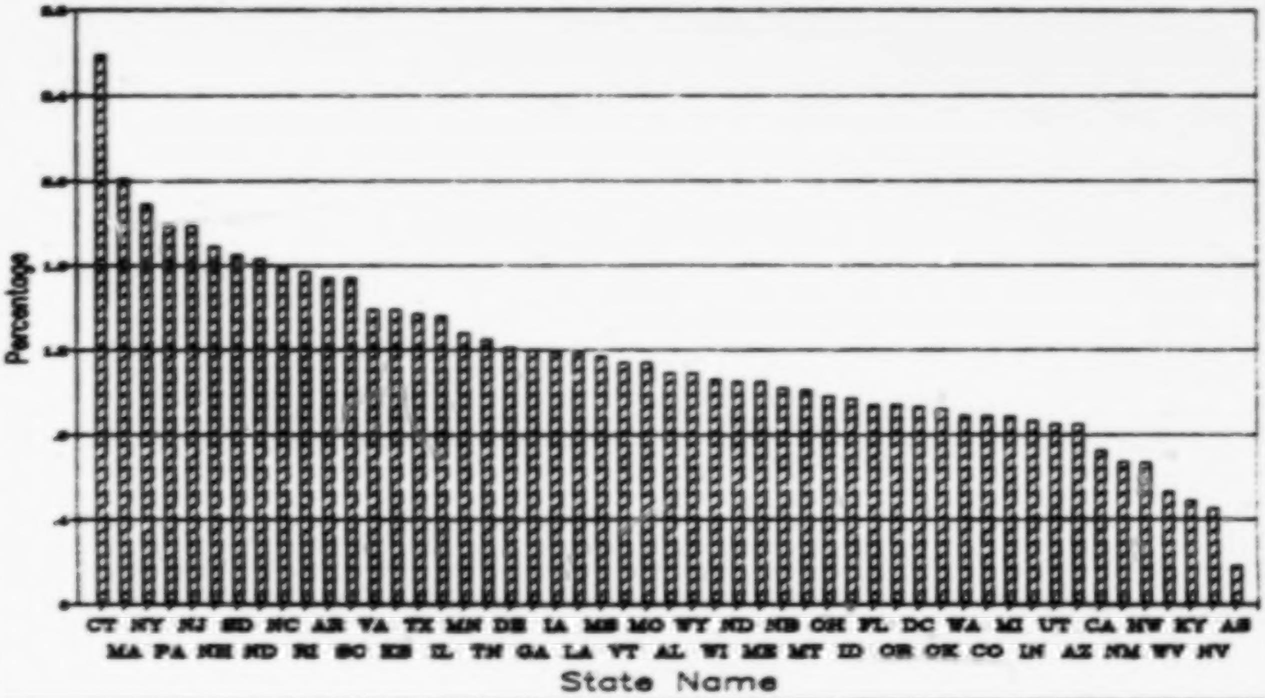
MR/DD Expenditures for ***Institutional & Community*** Services as a Percentage of the Total State Budget, Ranked by State: FY 1977



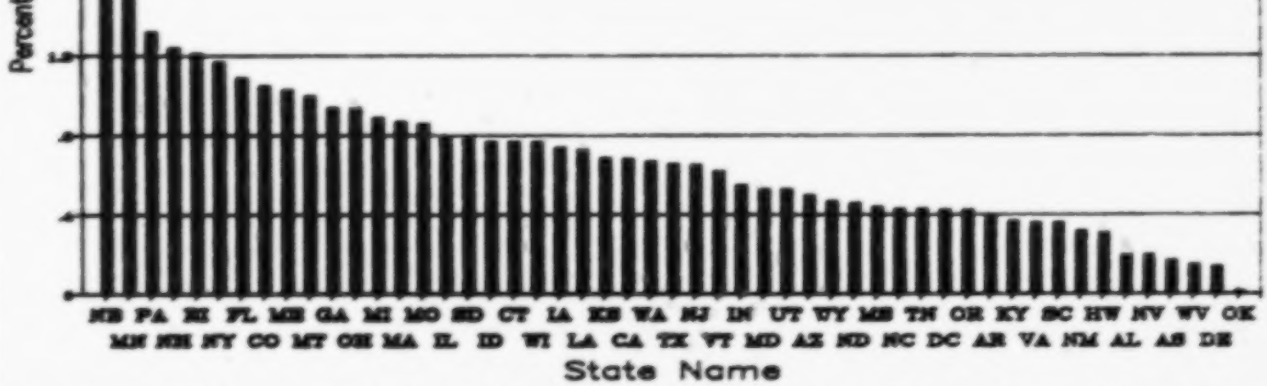
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of the Total State Budget, Ranked by State: FY 1983



MR/DD Expenditures for *Institutional* Services as a Percentage of the Total State Budget, Ranked by State: FY 1983

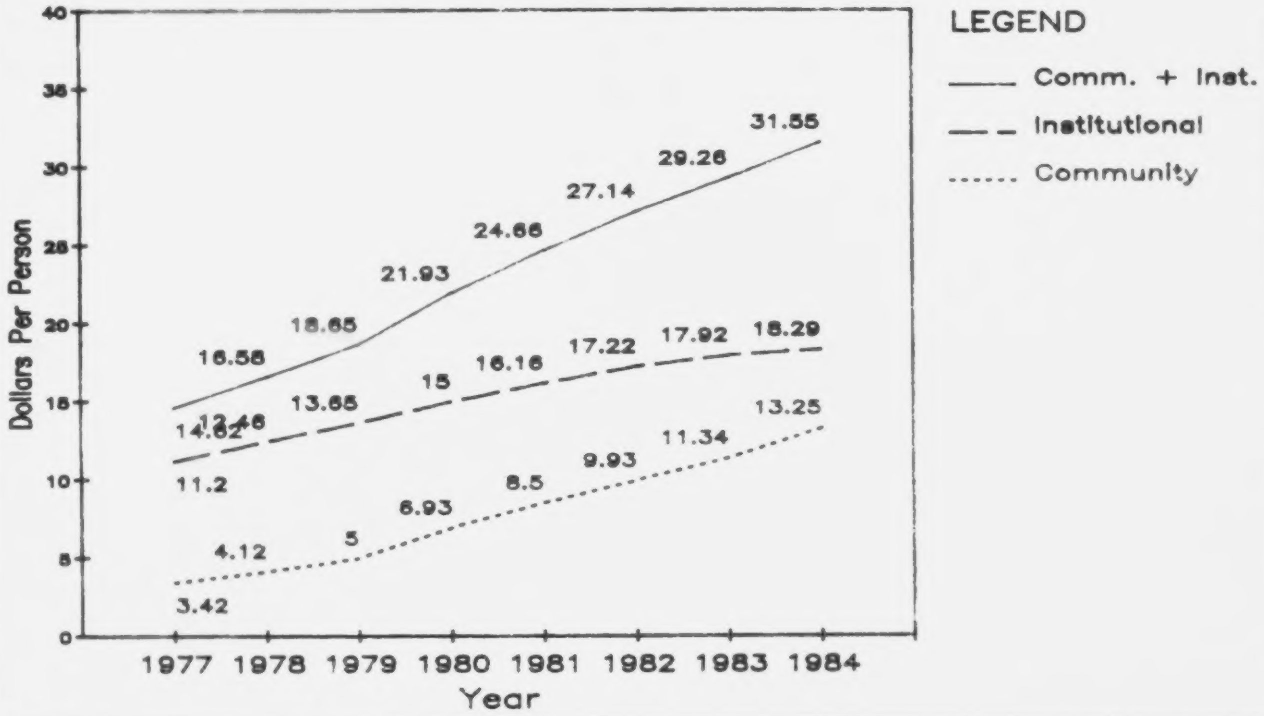


MR/DD Expenditures for *Community* Services as a Percentage of the Total State Budget, Ranked by State: FY 1983

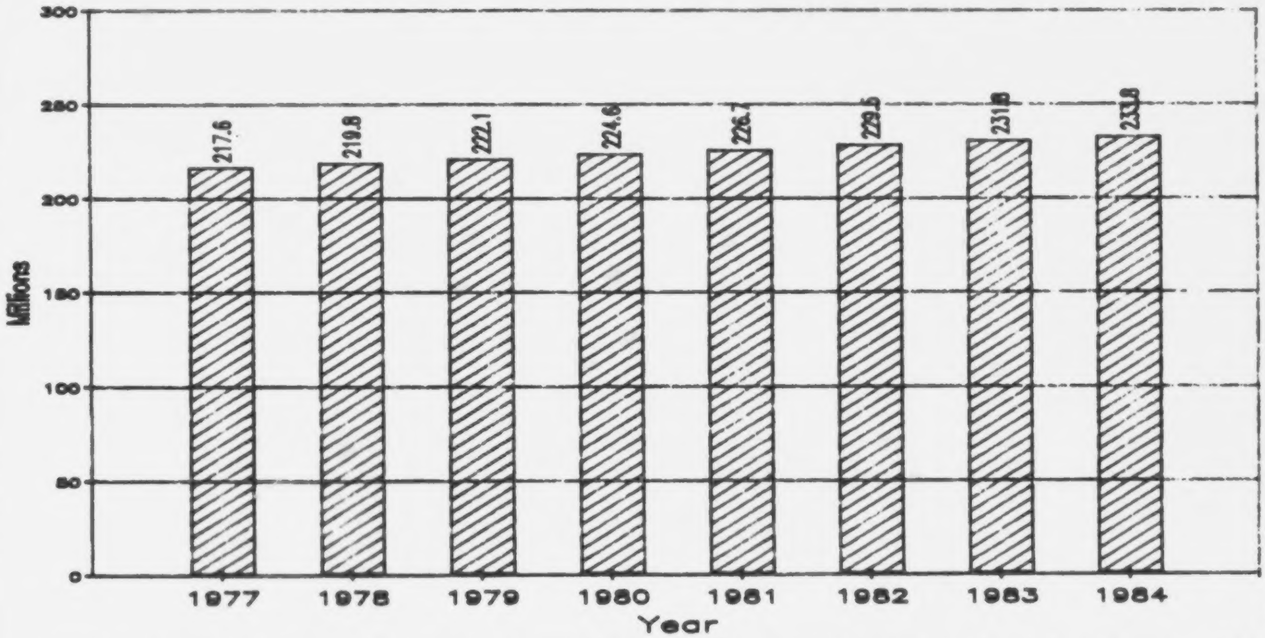


Source: Braddock, Hemp & Howes, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UNITED STATES
MR/DD Expenditures for *Institutional & Community* Services Per Capita: FY 1977–84

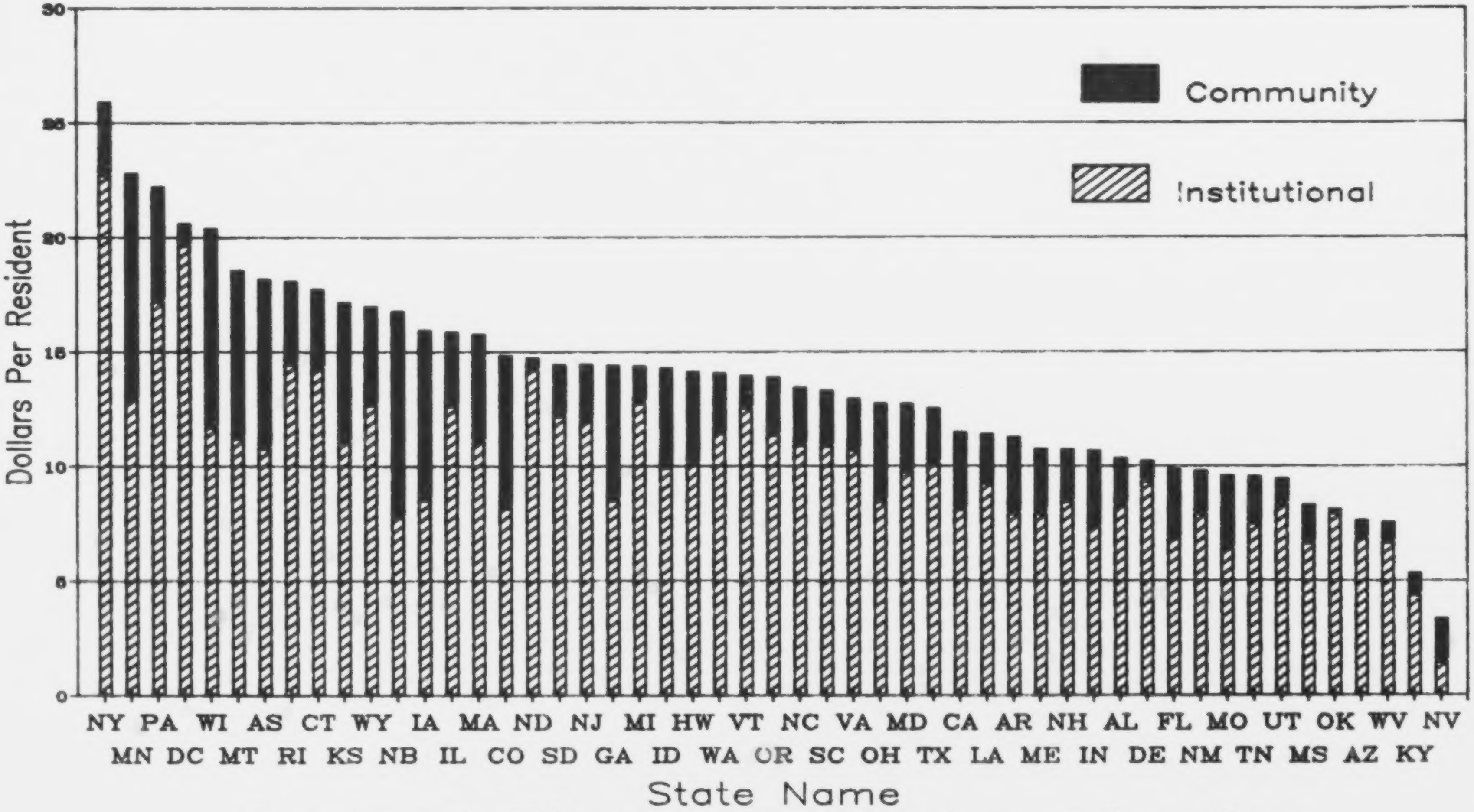


The Total State General Population FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

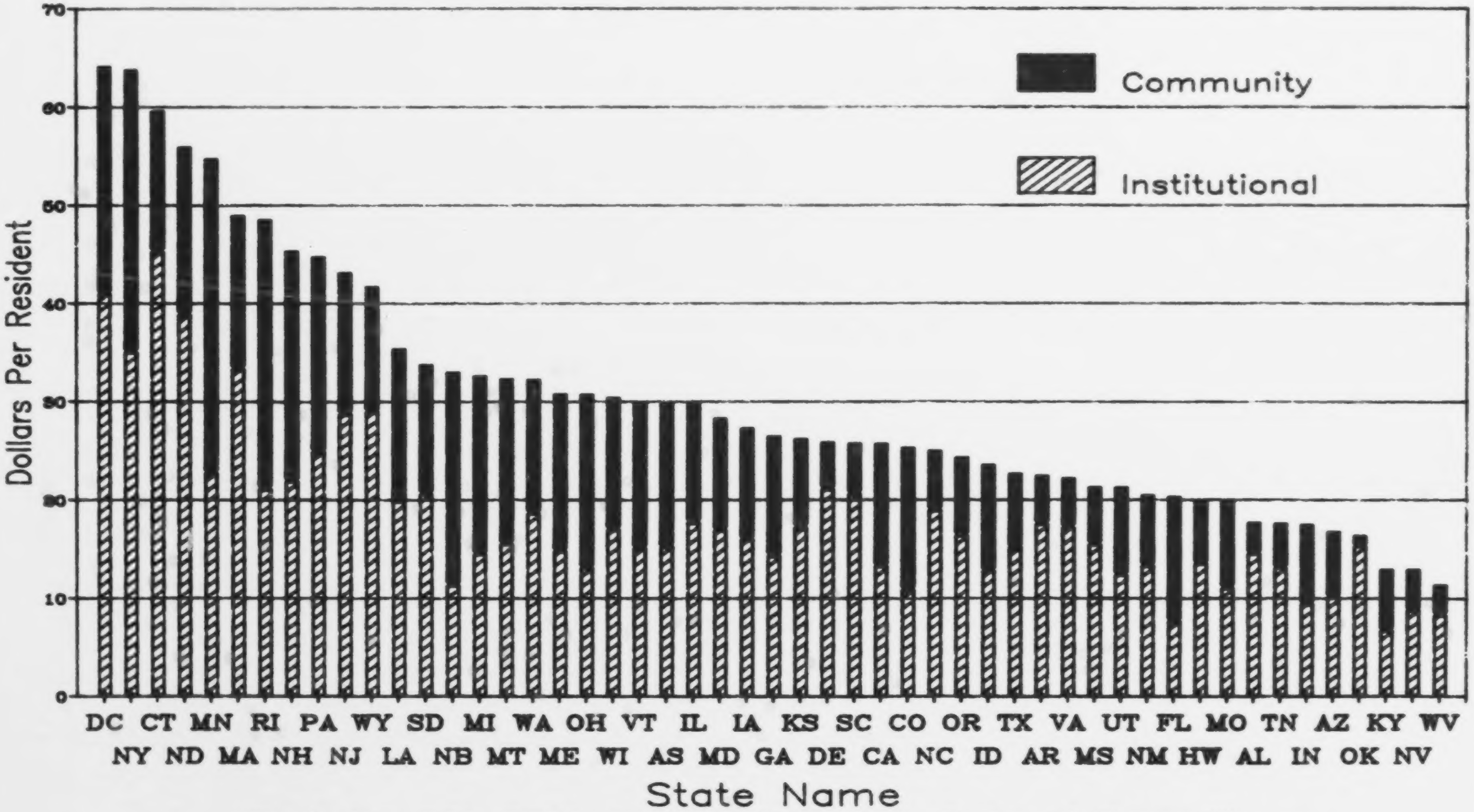
MR/DD ***Institutional*** & ***Community**** Services Expenditures Per Capita, Ranked by State: FY 1977



*Excludes SSI, SSDI, Special Education & Local Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

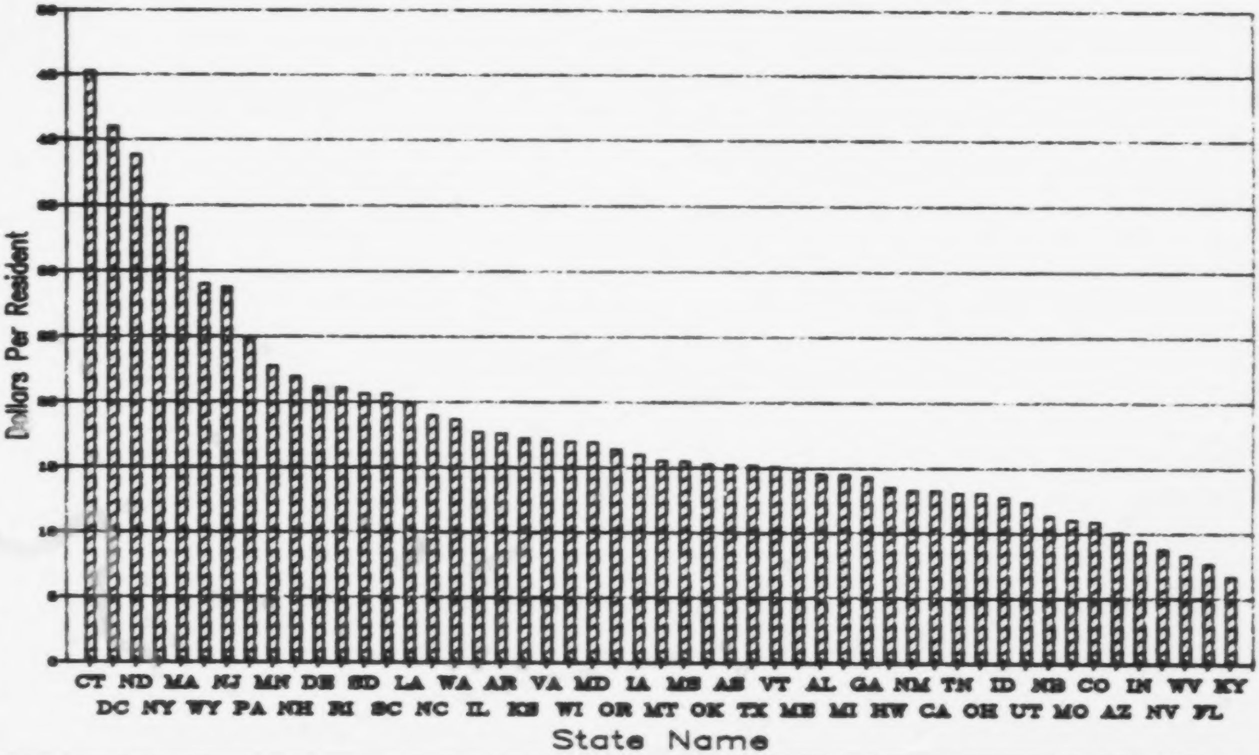
MR/DD *Institutional* & *Community** Services Expenditures Per Capita, Ranked by State: FY 1984



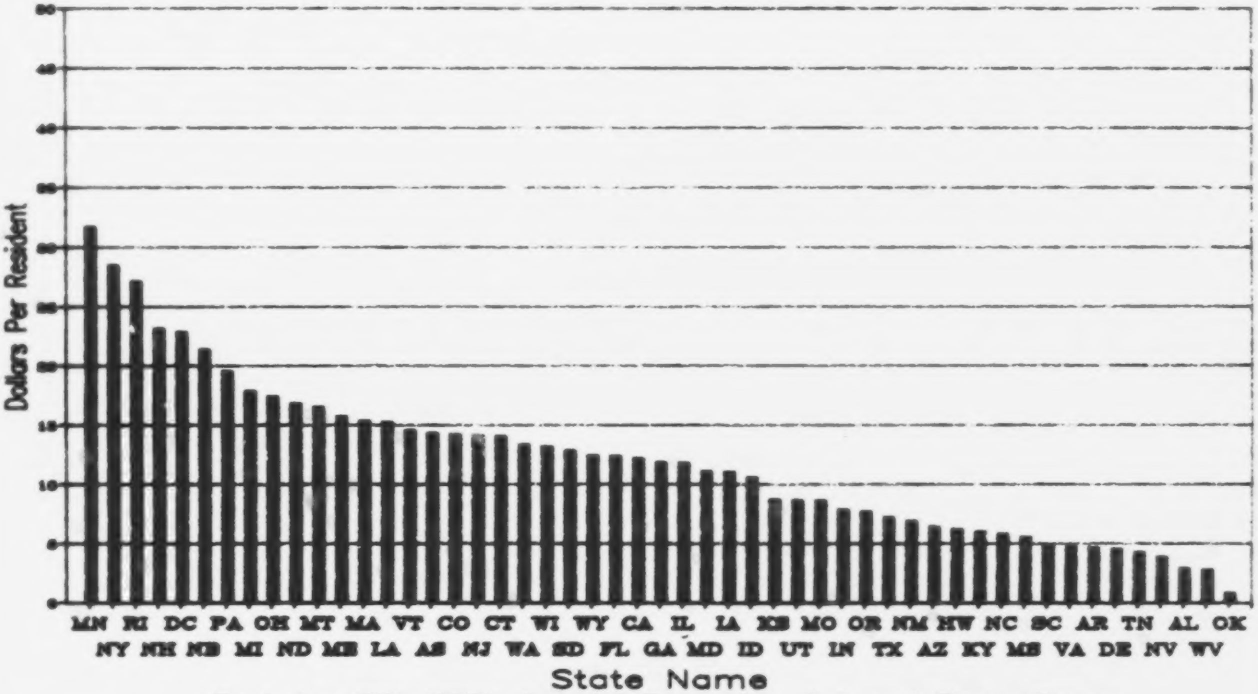
*Excludes SSI, SSDI, Special Education & Local Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MR/DD *Institutional* Services Expenditures Per Capita, Ranked by State: FY 1984



MR/DD *Community** Services Expenditures Per Capita, Ranked by State: FY 1984



*Excludes SSI, SSDI, Special Education & Local Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SECTION C.

REVENUE SOURCES FOR MR/DD INSTITUTIONAL SERVICES

1. United States MR/DD Expenditures for Institutional Services: a Comparison of State and Federal Funding: FY 1977 - 1984. .page 47

Section C and Section D provide detail on the fund sources for Institutional and Community Services expenditures, respectively. This particular chart for Institutional Services contains the same expenditure data as was presented in the top half of Chart #2 in Section A. However, whereas that chart was a stacked bar chart, this cluster bar chart assists in determining, for each year, the relative contributions of State Funds, Federal ICF/MR Revenue, Federal Title XX/SSBG, and Other Federal Funds. It also assists in tracking the growth of each individual fund source over the eight years of the analysis. The chart provides, in the bottom half, a representation of the expenditure figures in real economic terms.

2. Federal ICF/MR Reimbursements as a Percentage of Total Institutional Services Expenditures: FY 1977 and 1984. . . .page 48

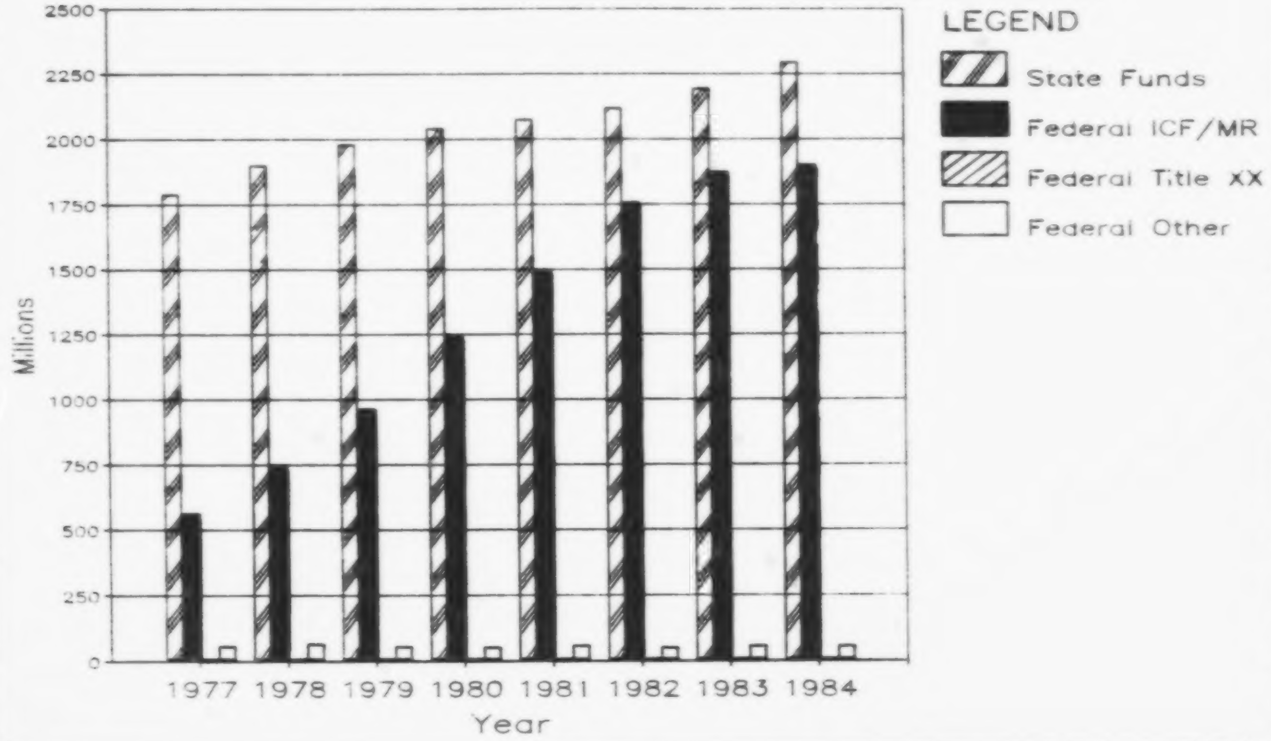
This chart further illustrates the predominant Federal revenue for financing institutional services. It displays the States in terms of their Federal ICF/MR revenue as a percentage of total Institutional Services expenditures for two years: FY 1977 and FY 1984. By placing data for these two years together on one chart, it is possible to compare the relative contributions of Federal ICF/MR revenue in FY 1977 with FY 1984, state by state. The chart also profiles the national utilization of Federal ICF/MR revenues in these two end years of our eight-year analysis period.

3. Cumulative Federal ICF/MR Reimbursements as a Percentage of Institutional Expenditures, Ranked by State: FY 1977-1984. . . . . page 49

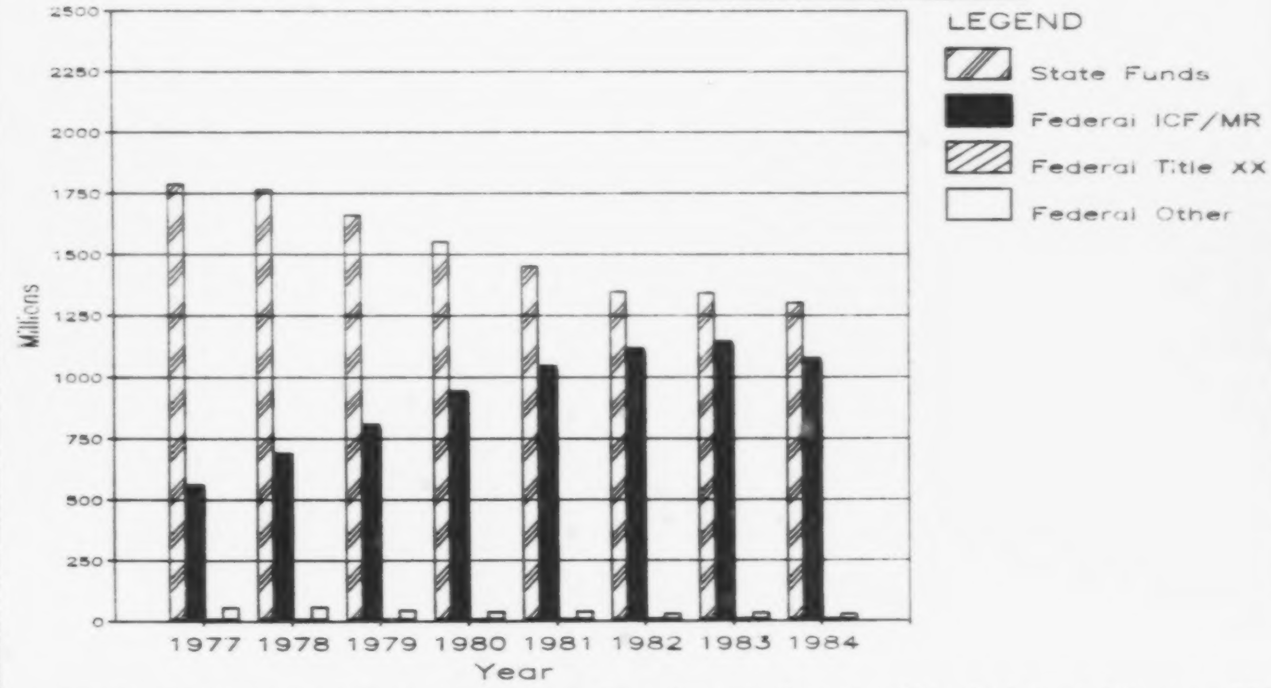
This chart also indicates Federal ICF/MR Revenue as a percentage of total Institutional Services expenditures; however, the cumulative eight-year period is considered. The States are ranked, from highest to lowest, in terms of the percentage of their Institutional expenditures constituted by Federal ICF/MR reimbursements.

UNITED STATES

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

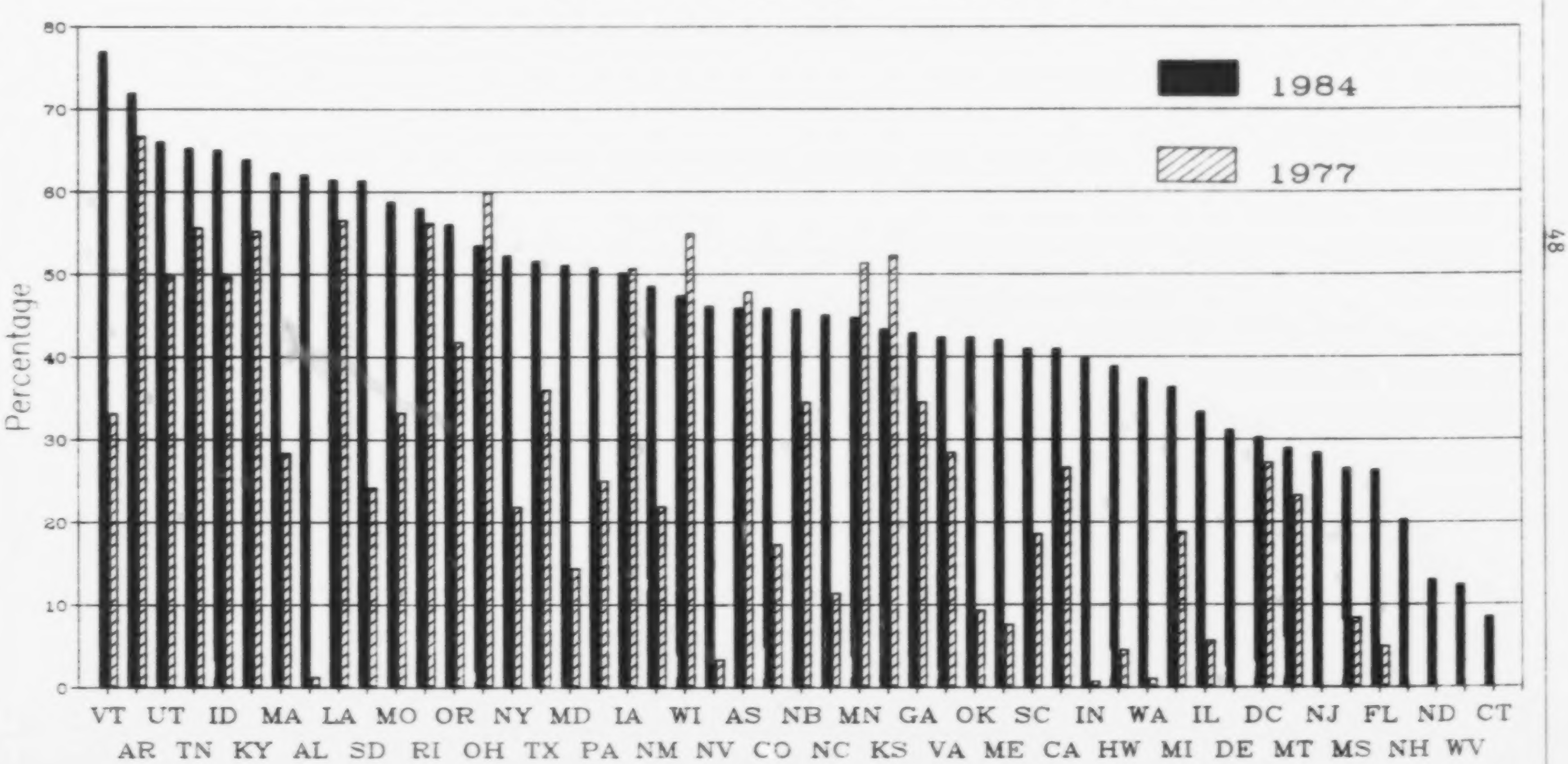


FY 1977–1984, *In 1977 Dollars*



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Federal ICF/MR Reimbursements as a Percentage of Total ***Institutional*** Services Expenditures, Ranked by State: FY 1977* and 1984**

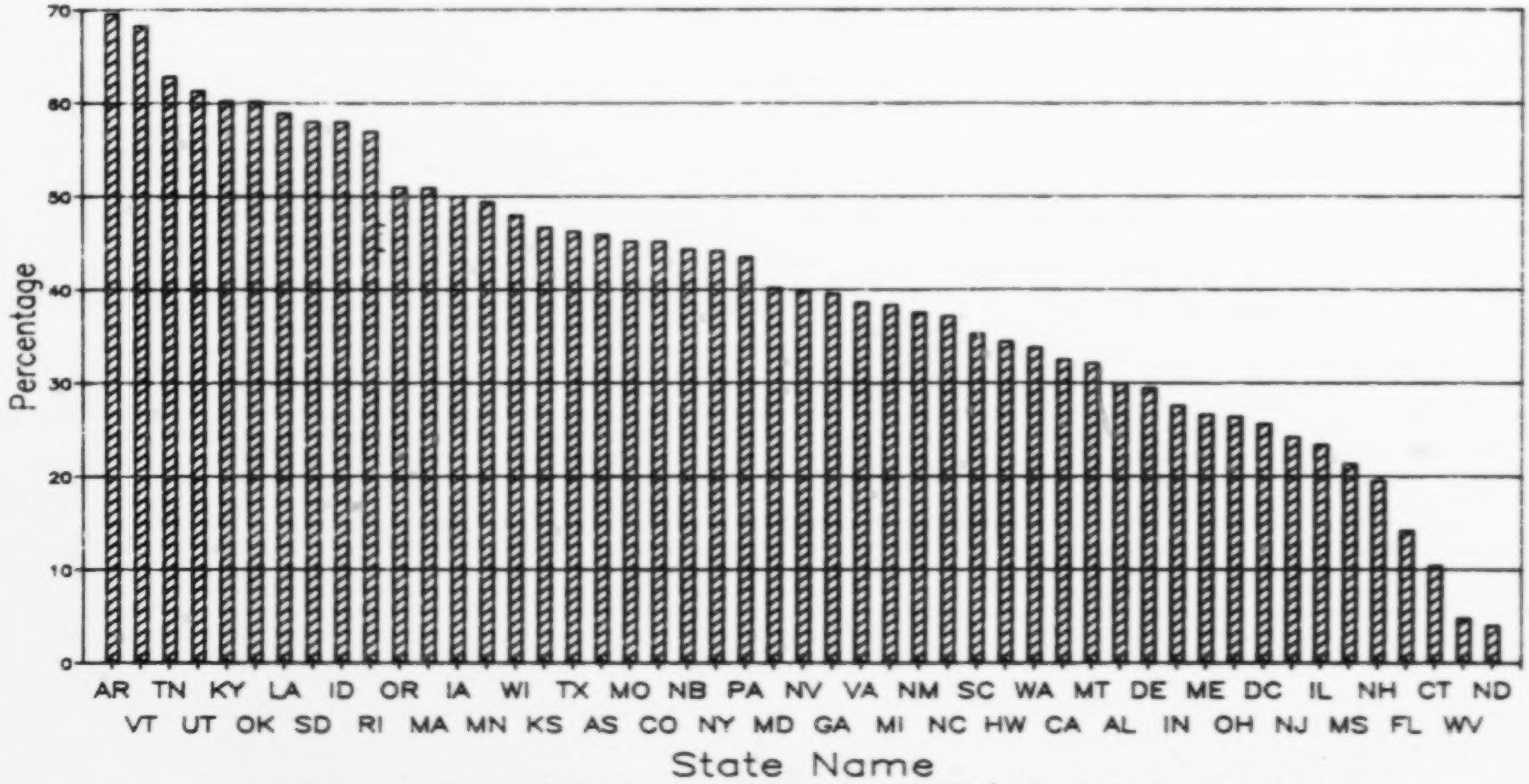


* 8 States had no ICF/MR Reimbursements in 1977

** Arizona & Wyoming have no ICF/MR Reimbursements in 1984

Source: Braddock, Howes & Hemp. Expenditure Analysis Project. ISDD, U of IL at Chicago.

Cumulative Federal ICF/MR Reimbursements as a Percentage of ***Institutional*** Expenditures, Ranked by State: FY 1977–1984



Arizona & Wyoming had no Federal ICF/MR Reimbursements

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

SECTION D

REVENUE SOURCES FOR MR/DD COMMUNITY SERVICES

1. United States MR/DD Expenditures for Community Services: A Comparison of State and Federal Funding: FY 1977 - 1984. . page 55

This chart provides a comparison of the revenue sources for Community Services for each year of the FY 1977 - 84 period. The chart indicates trends over the eight year period in each of the four major funding sources: State Funds; Federal ICF/MR Funds; Federal Title XX/SSBG Funds; and Other Federal Funds. The bottom chart displays the data in real economic terms.

2. Federal ICF/MR Reimbursements as a Percentage of Total Community Services Expenditures: FY 1977 and 1984. . . . . page 56

This chart compares the States' utilization of Federal ICF/MR Revenue at the beginning (FY 1977) and the end (FY 1984) of this analysis period. As indicated in the Introduction to this Monograph, Community Services Federal ICF/MR Revenue consists of combined reimbursements for: Private ICF/MR Facilities; State-Operated, but Community-based, ICF/MR Group Homes; Title XIX Community Care Waiver Services; and, in instances where these are managed by the Principal State MR/DD Agency, Title XIX Day Programs for MR/DD individuals.

The purpose of the chart is to illustrate the degree to which states were reliant on ICF/MR funding in 1977 for financing community services, and how this may have changed by 1984. The States are ranked according to their FY 1984 Federal ICF/MR percentages; then, their FY 1977 ICF/MR percentages are superimposed on this ranking.

3. Cumulative Federal ICF/MR Reimbursements as a Percentage of Community Services Expenditures, Ranked by State: FY 1977 - 1984. . . . . page 57

This chart depicts cumulative eight year total ICF/MR reimbursements as a percentage of total cumulative MR/DD Community Services spending in each State. The States are ranked, from highest to lowest, in terms of this percentage.

4. Federal Title XX/SSBG Reimbursements as a Percentage of Total Community Services Expenditures: FY 1977 and 1984 . . . . . .page 58

This chart presents detail on Title XX/Social Services Block Grant Reimbursements for MR/DD Community Services. The States are ranked, highest to lowest, according to the FY 1977 percentage of total community services funding constituted by Title XX/SSBG funds. Then, the States' ranking in FY 1984 is superimposed, for a comparison of the two years.

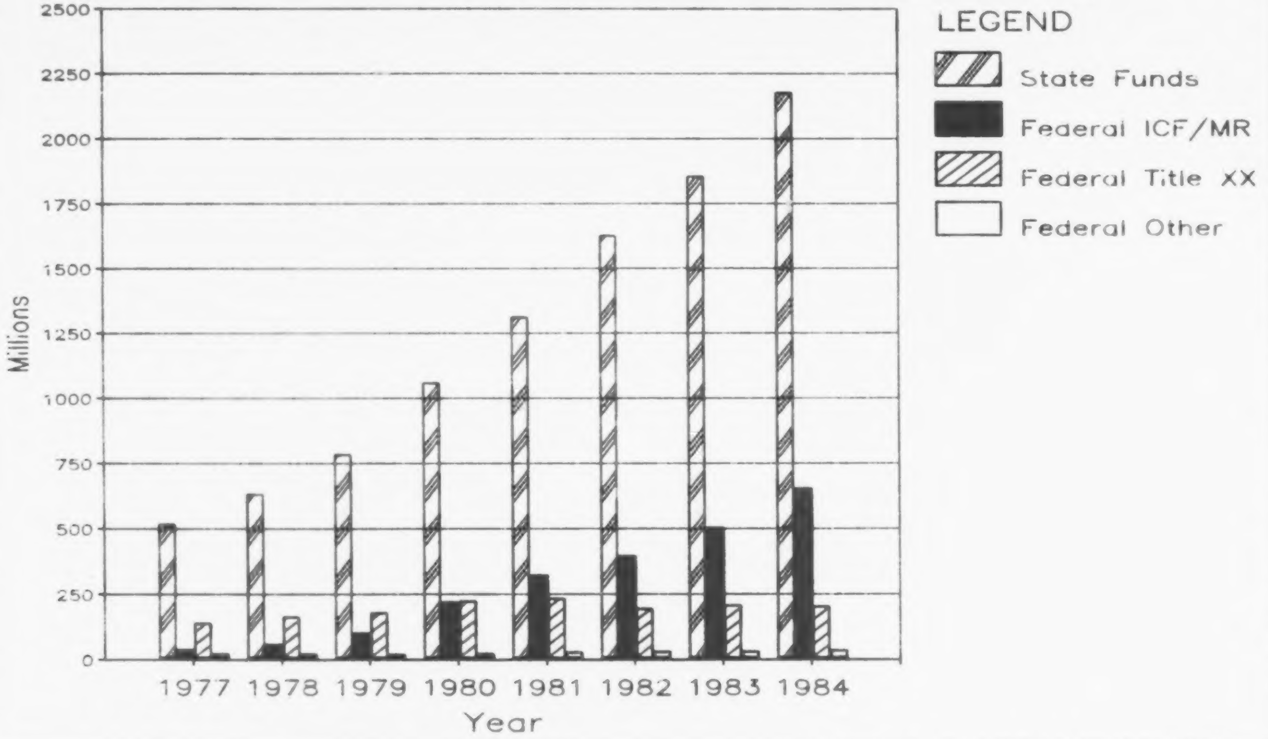
5. Cumulative Federal Title XX/SSBG Reimbursements as a Percentage of Community Expenditures, Ranked by State: FY 1977 - 1984 . . . . page 59

This chart presents the state-by-state Title XX/SSBG revenue for the entire eight year period of this analysis; states are ranked from highest to lowest in terms of the percentage which cumulative Title XX/SSBG revenue represented, out of total (all fund sources) spending for community services.

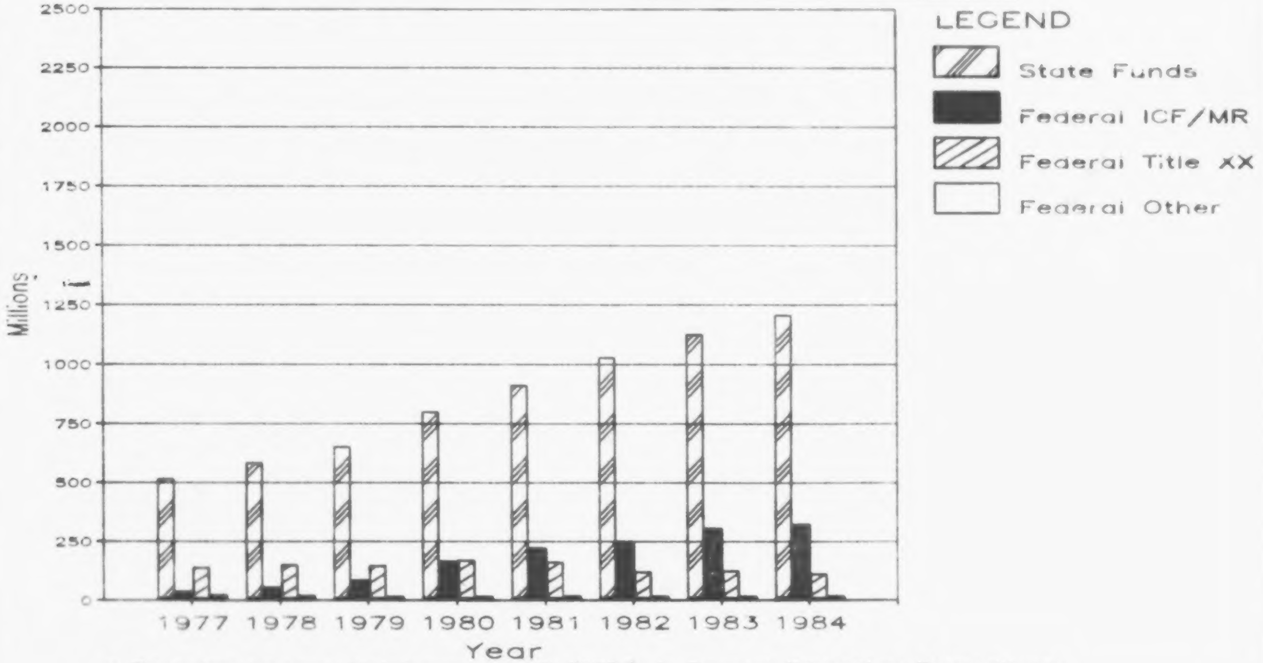
UNITED STATES

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



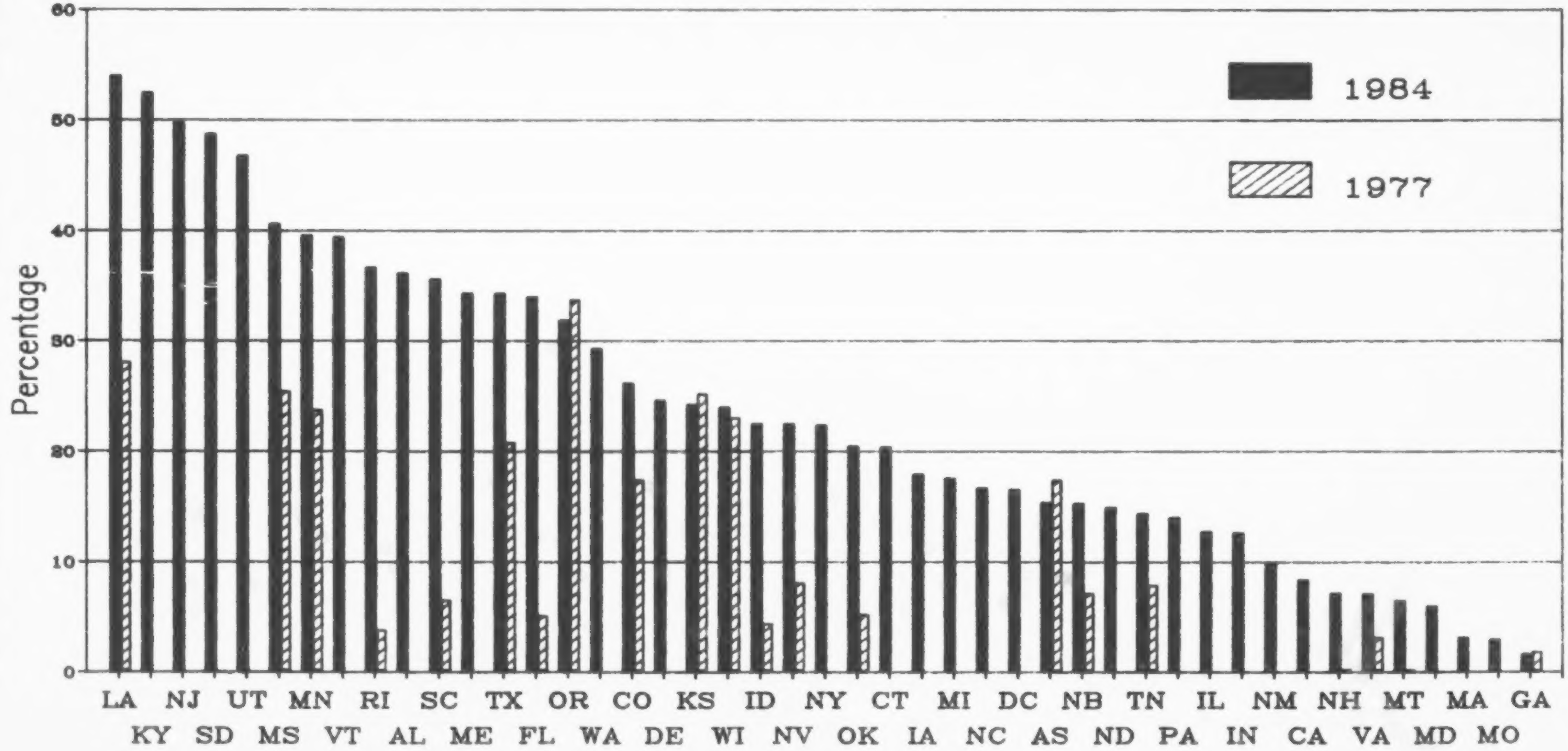
FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Federal ICF/MR Reimbursements as a Percentage of Total *Community* Services Expenditures, Ranked by State: FY 1977* and 1984**

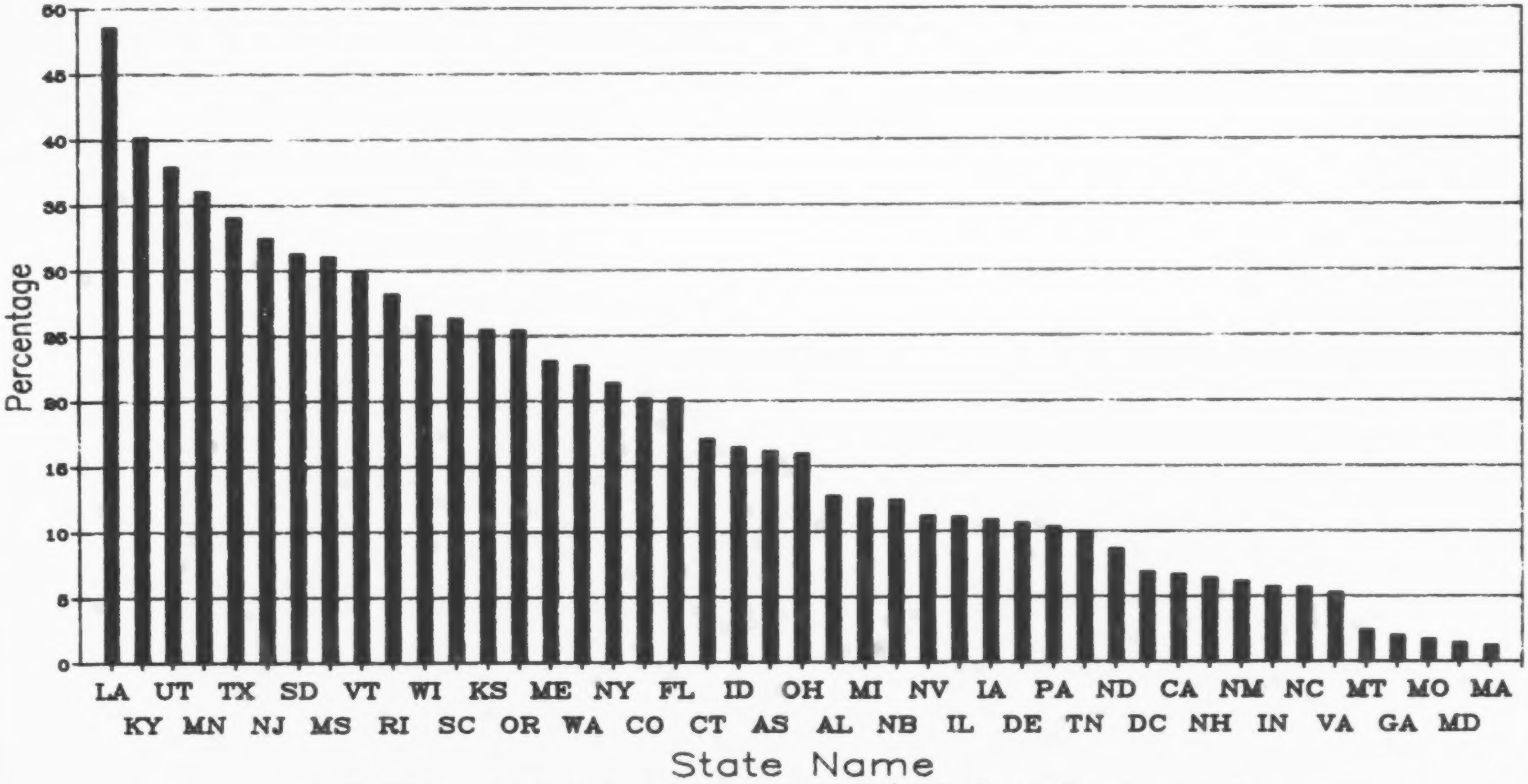


* 30 States had no ICF/MR Reimbursements in 1977

** 6 States have no ICF/MR Reimbursements in 1984

Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago.

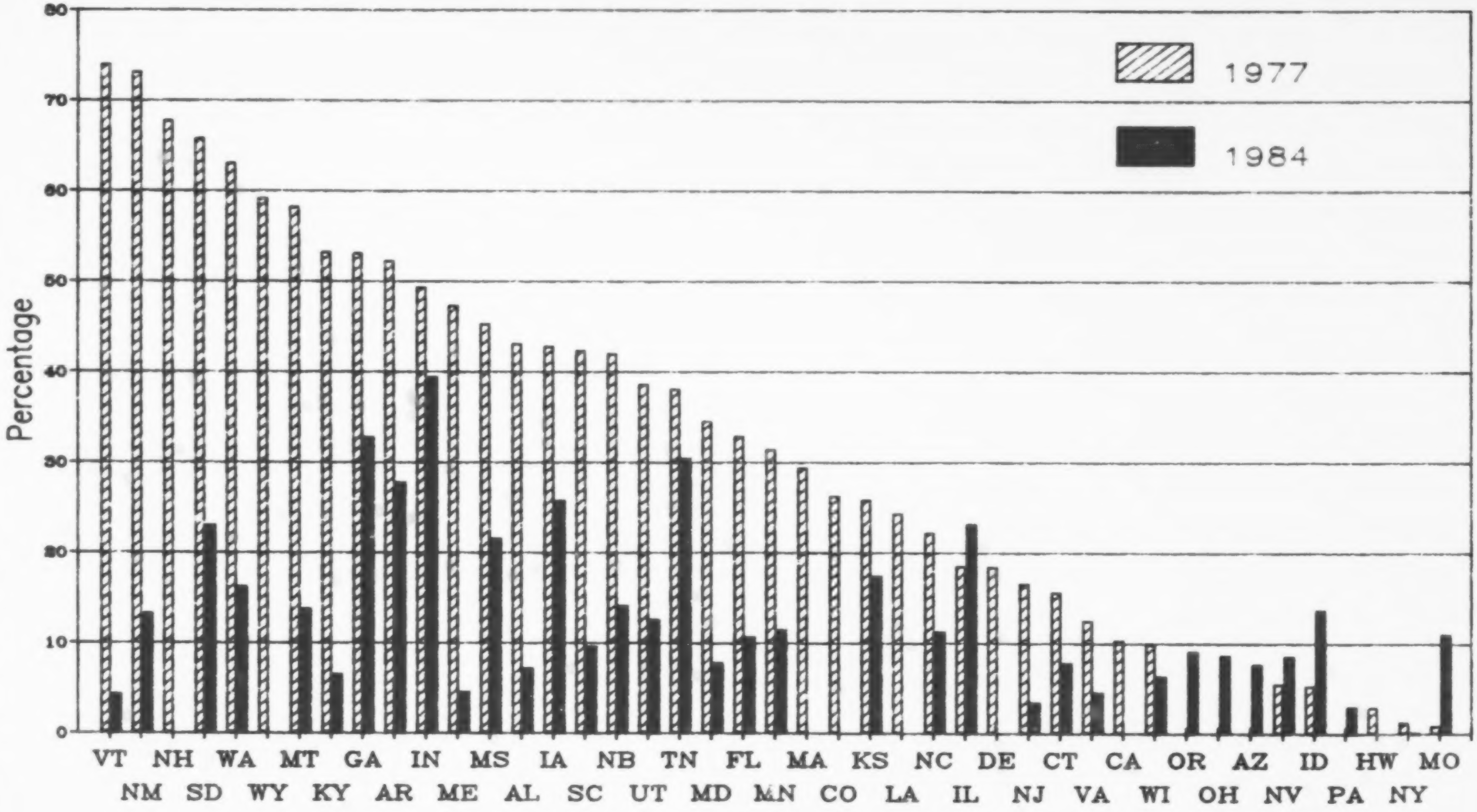
Cumulative Federal ICF/MR Reimbursements as a Percentage of *Community* Services Expenditures, Ranked by State: FY 1977–1984



6 States had no Federal ICF/MR Reimbursements

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

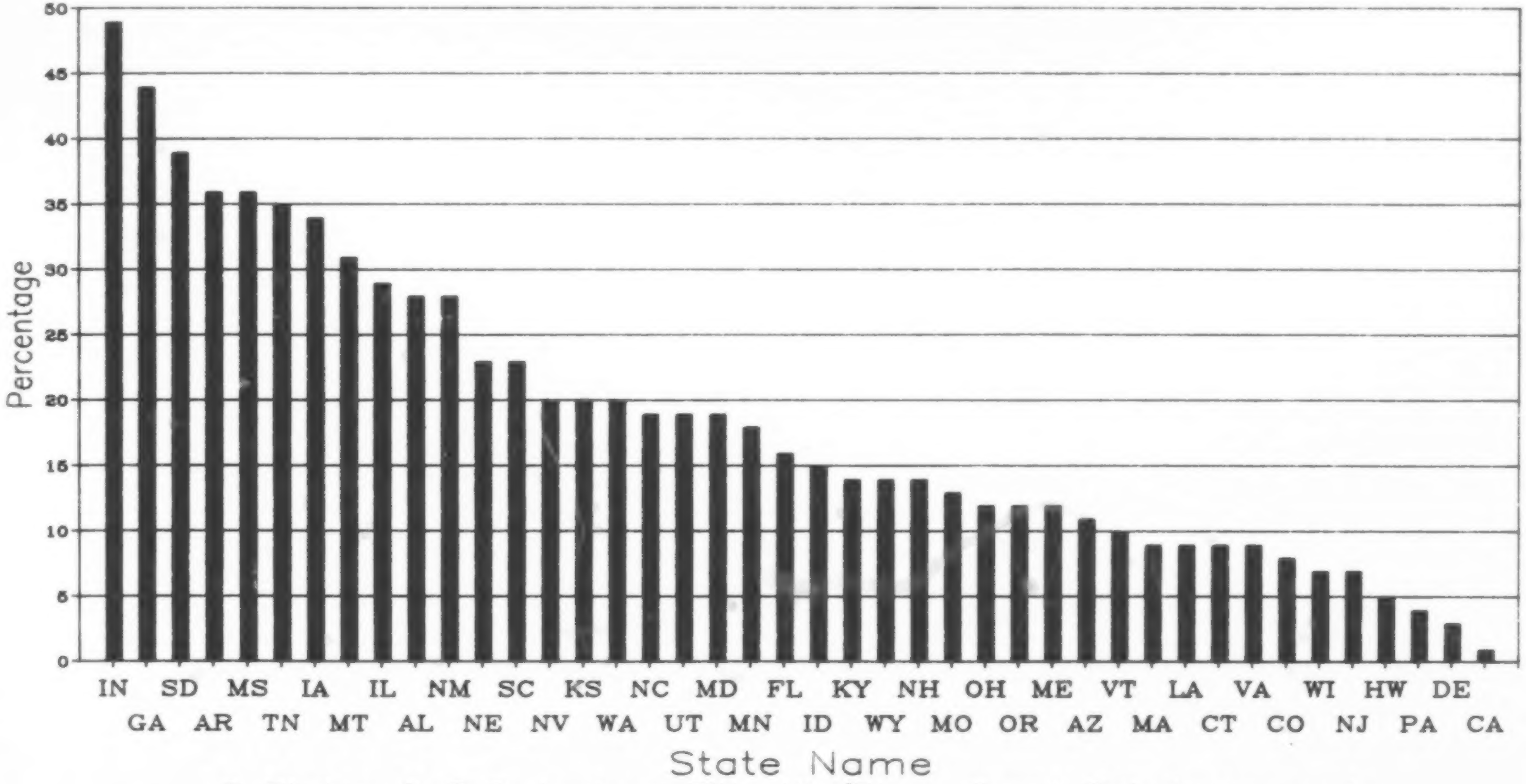
Federal Title XX/SSBG Reimbursements as a Percentage of Total *Community* Expenditures, by State, FY 1977* & FY 1984**



* 11 States & D.C. had no Title XX Reimbursements in 1977.
** 15 States & D.C. have no Title XX Reimbursements in 1984.

Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago.

Cumulative Federal Title XX/Block Grant Reimbursements as a Percentage of ***Community*** Expenditures by State: FY 1977–1984



8 States & D.C. had no Title XX/Block Grant Reimbursements

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

SECTION E

COMPARATIVE UTILIZATION OF FEDERAL ICF/MR REIMBURSEMENT IN INSTITUTIONAL AND COMMUNITY SETTINGS

1. United States Cumulative Federal ICF/MR Reimbursements in Institutional and Community Settings: FY 1977 - 1984. . . . page 65

The charts in Section E demonstrate the comparative contributions of the Federal ICF/MR Program to Institutional Services and to Community Services. This first chart indicates, for cumulative eight-year total reimbusements under the ICF/MR program, the relative percentages for Institutional (81.8%) and for Community (18.2%) Services. Total reimbursements from the program amounted to $12.9 Billion in the eight-year period.

2. United States Comparative Federal Institutional and Community Services Reimbursements for the ICF/MR Program: FY 1977-1984. . . . . page 66

This chart demonstrates the year by year comparison of Institutional and Community Services reimbursements under the Federal ICF/MR program. The top half of the chart is in unadjusted dollars, while the bottom half demonstrates the eight years of reimbursements in constant dollar terms.

3. Federal ICF/MR Reimbursements as a Percentage of Total Institutional/Community Services Expenditures, Ranked by State: FY 1977. . . . . page 67

For FY 1977, the States' Federal ICF/MR Reimbursements received, expressed as percentages of Institutional Services (top chart) and Community Services (bottom chart), are presented. The States are ranked highest to lowest by these percentages.

4. Federal ICF/MR Reimbursements as a Percentage of Total Institutional/Community Services Expenditures, Ranked by State: FY 1984. . . . . .page 68

This chart repeats the format from the chart immediately preceding, but for FY 1984. Again, States are ranked from highest to lowest based on the Federal ICF/MR percentage of total Institutional Services expenditures.

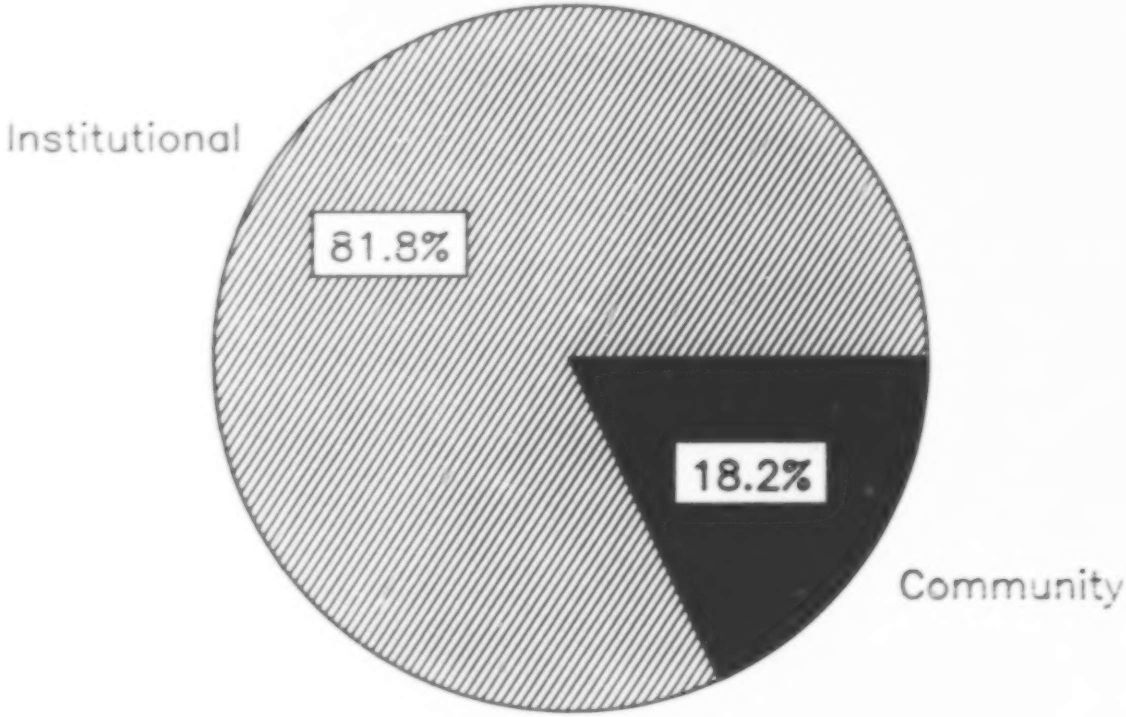
5. United States: The Growth of Federal ICF/MR Reimbursements as a Percentage of Total State-Federal Expenditures for Institutional/Community Services: FY 1977-1984. . . . . page 69

Two line charts represent Federal ICF/MR reimbursement percentages for each year. The Federal ICF/MR percentage of Institutional Services is displayed on the top chart; the Federal ICF/MR percentage of Community Services expenditures is presented on the bottom chart.

UNITED STATES

Cumulative Federal ICF/MR Reimbursements In *Institutional* & ***Community*** Settings

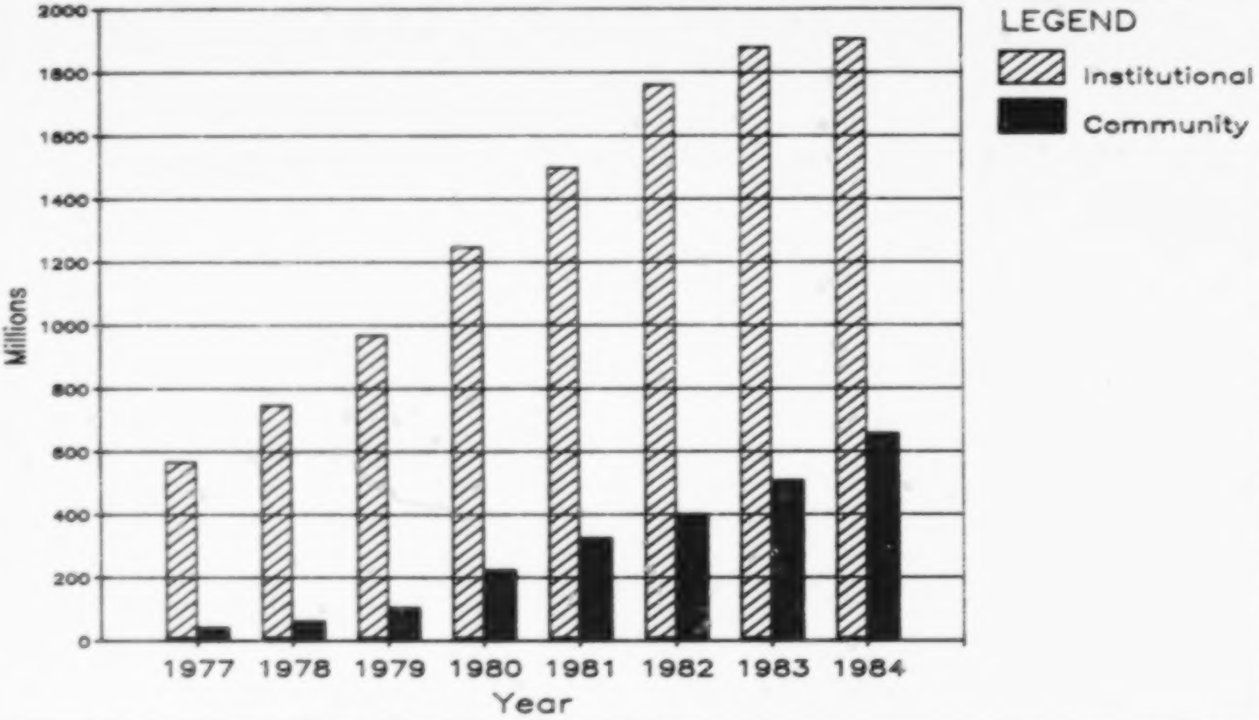
FY 1977–1984



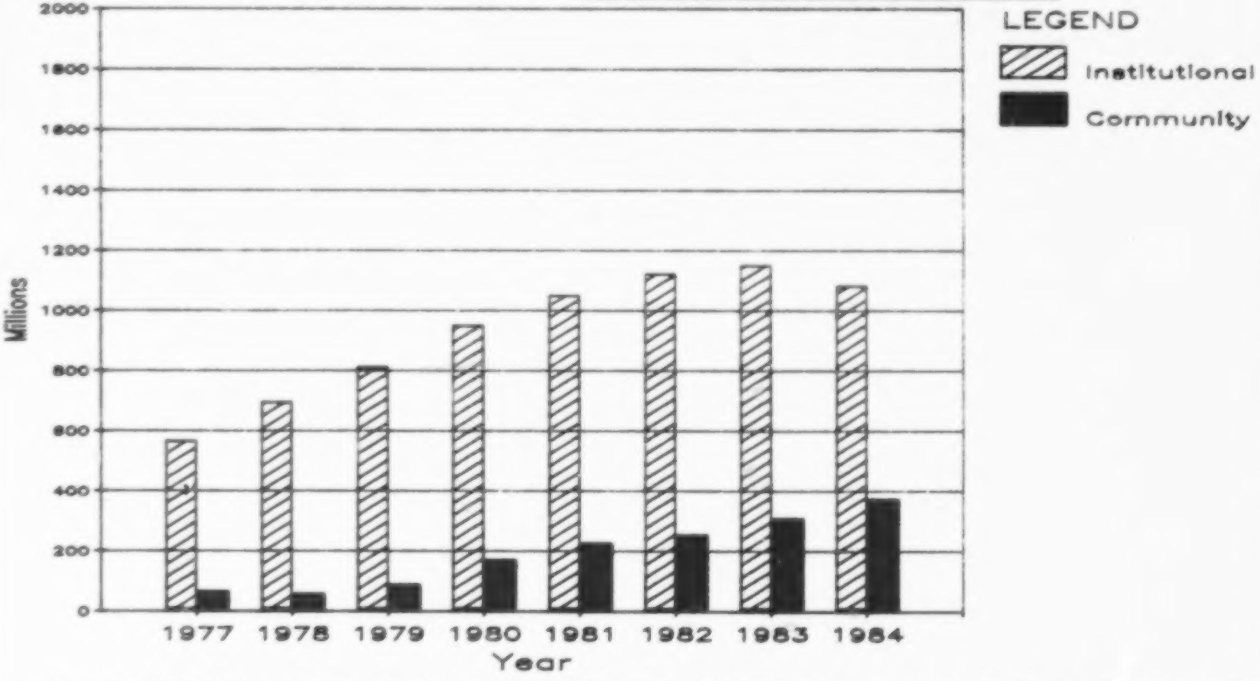
Total Dollars: $12.9 Billion

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UNITED STATES
Comparative Federal ***Institutional*** & ***Community*** Expenditures for the ICF/MR Program, FY 1977–84 ***In Unadjusted Dollars***

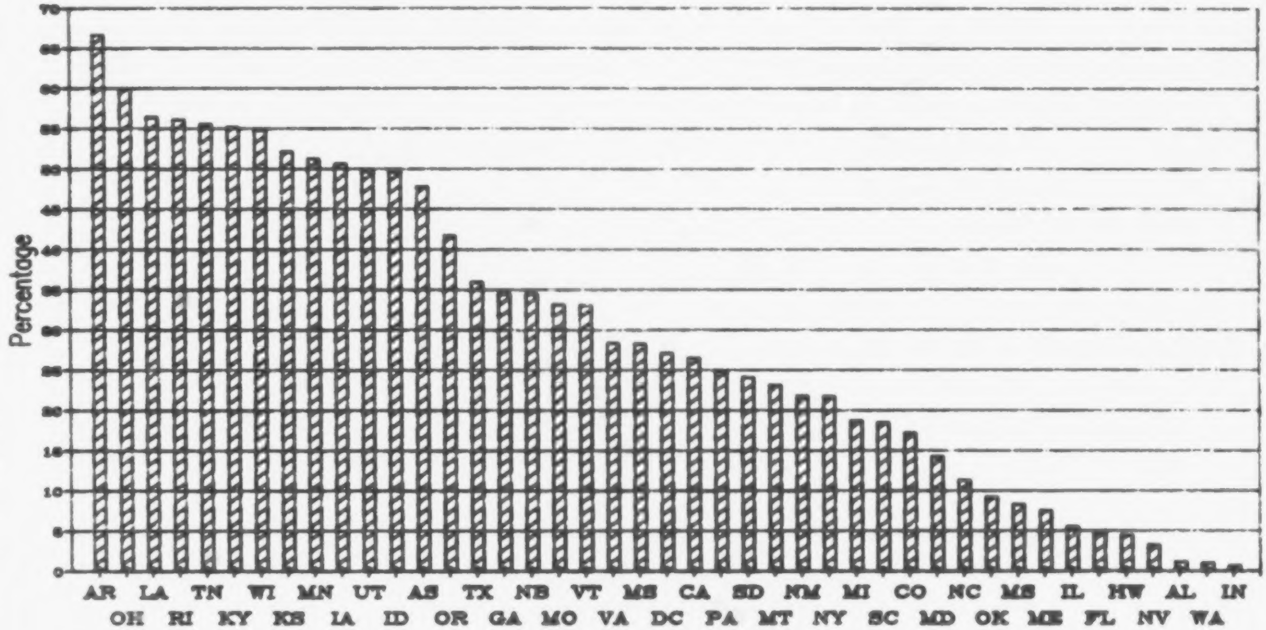


FY 1977–84 ***In 1977 Dollars***



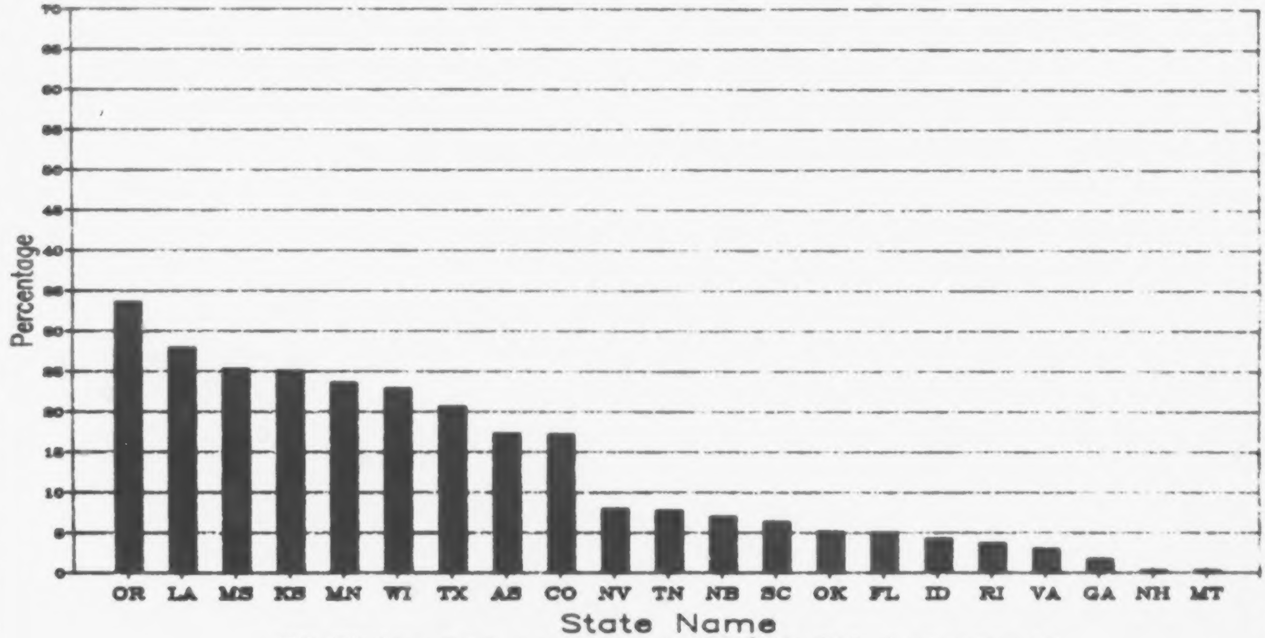
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Federal ICF/MR Reimbursements as a Percentage of Total *Institutional* Expenditures , Ranked by State, FY 1977



8 States had no Federal ICF/MR Reimbursements

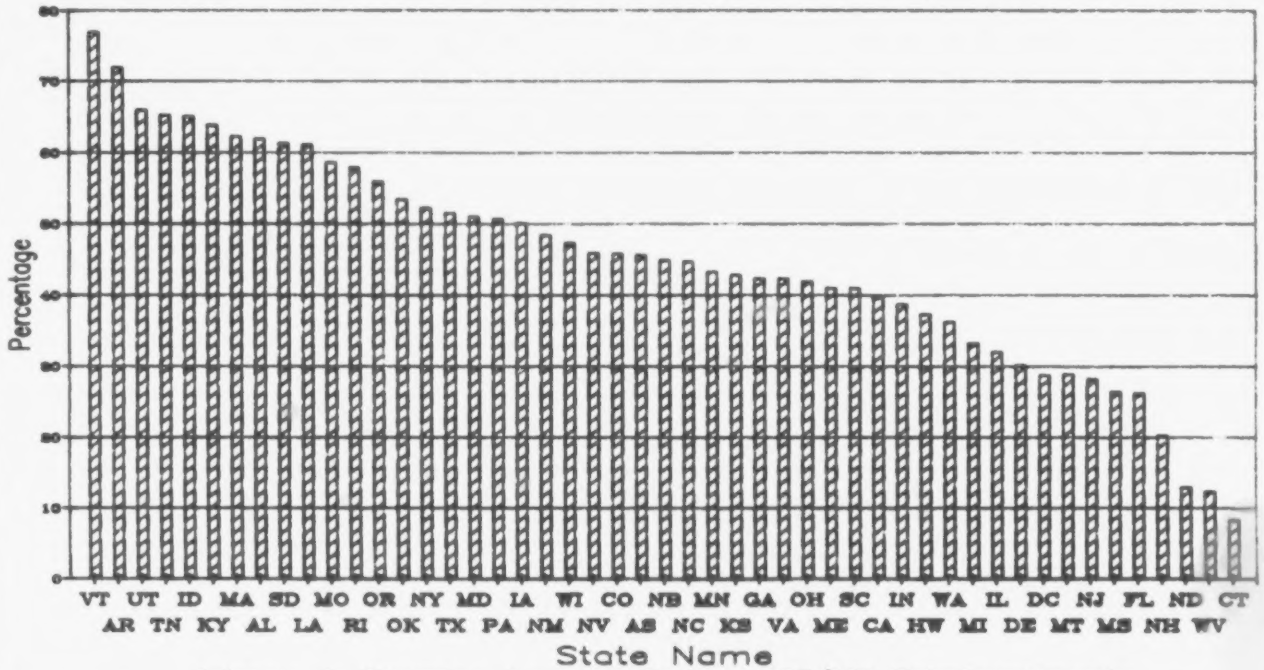
Federal ICF/MR Reimbursements as a Percentage of Total *Community* Expenditures, Ranked by State, FY 1977



30 States had no Federal ICF/MR Reimbursements

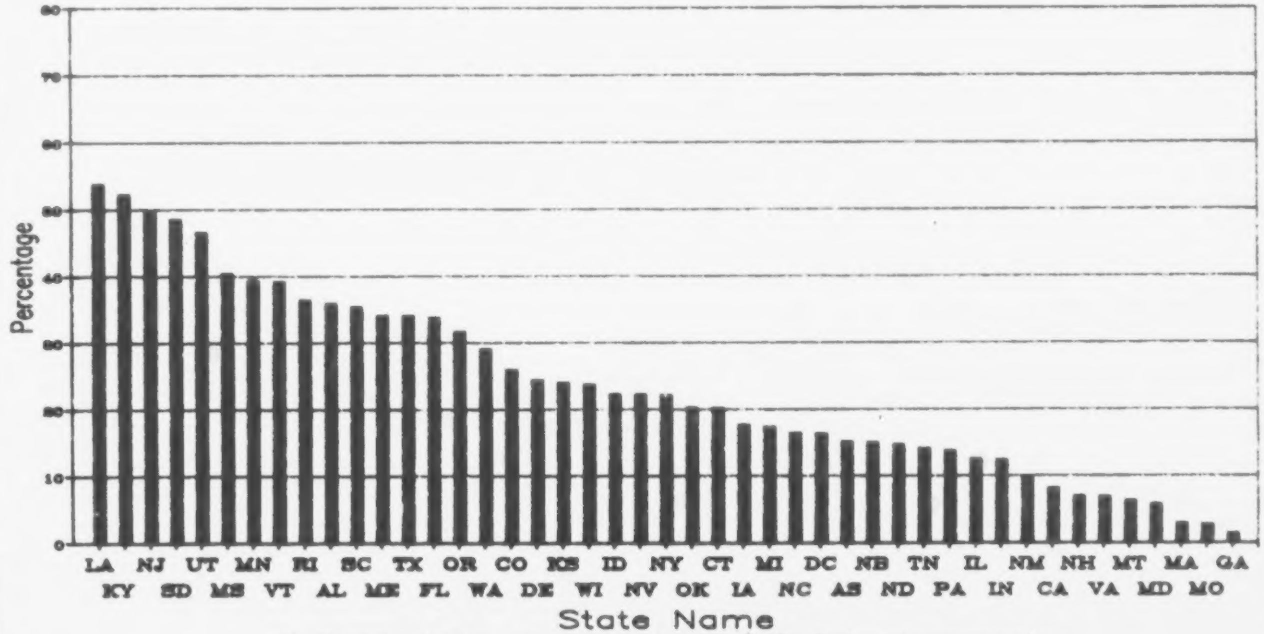
Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Federal ICF/MR Reimbursements as a Percentage of Total *Institutional* Expenditures, Ranked by State, FY 1984



Arizona & Wyoming have no Federal ICF/MR Reimbursements

Federal ICF/MR Reimbursements as a Percentage of Total *Community* Expenditures, Ranked by State, FY 1984

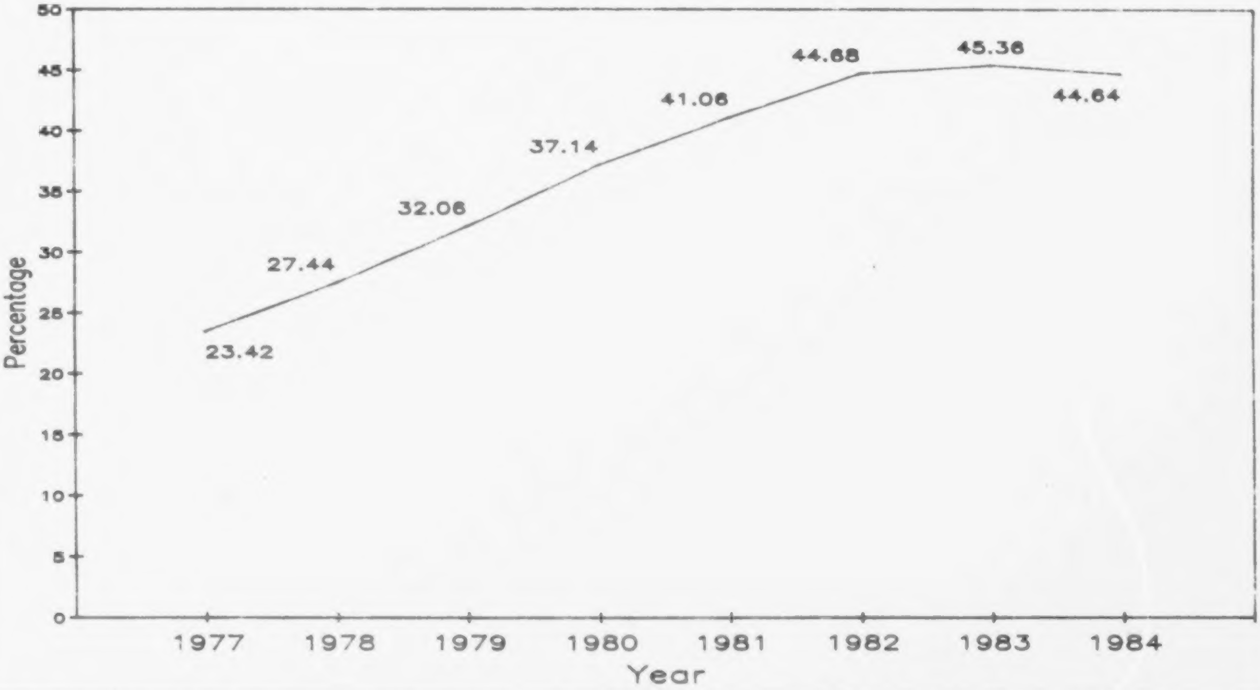


6 States have no Federal ICF/MR Reimbursements

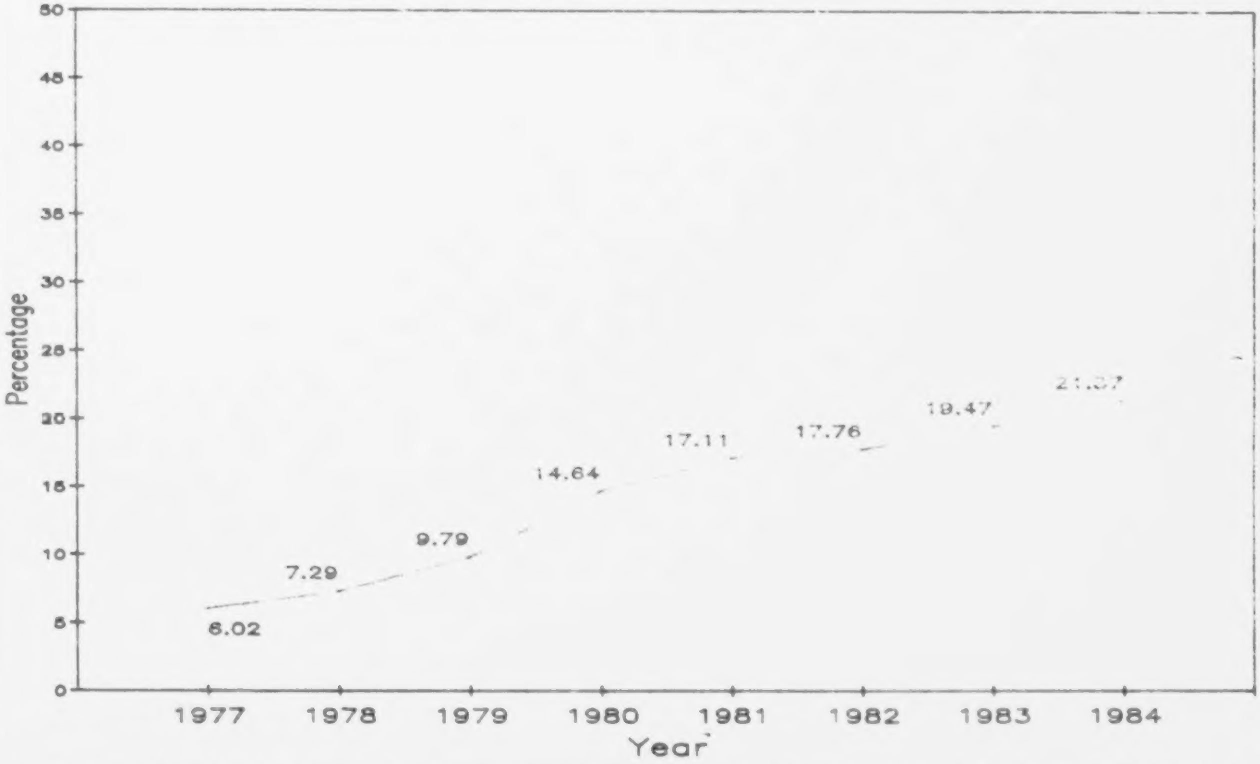
Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UNITED STATES

The Growth of Federal ICF/MR Reimbursements as a Percentage of Total State—Federal Expenditures for *Institutional* Services: FY 1977—84



Community Services: FY 1977—84



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SECTION F

DAILY EXPENDITURE AND POPULATION TRENDS IN INSTITUTIONAL SERVICES

86

SECTION F

DAILY EXPENDITURE AND POPULATION TRENDS IN INSTITUTIONAL SERVICES

1. United States, Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977 - 1984. . . . . page 75

Daily expenditures per resident of public MR/DD institutions in the United States are presented in this chart. Sometimes referred to as "per diems," these figures are a result of dividing each year's Institutional Services expenditures by that year's "average daily residents" of institutions, and then dividing by 365 days (366 in leap years). The top chart reflects daily expenditures per resident in unadjusted and constant dollars. The bottom chart presents, for each year, the total number of institutional residents.

2. Daily Expenditures Per Resident in Public MR/DD Institutions, Ranked by State:FY 1977 and 1984. . . . . page 76

This two-part chart ranks States according to their daily expenditures per resident in FY 1977 (top chart) and in FY 1984 (bottom chart). States are ranked from highest to lowest.

3. Population Trends in MR/DD Institutions in the United States: FY 1977 and 1984. . . . . page 77

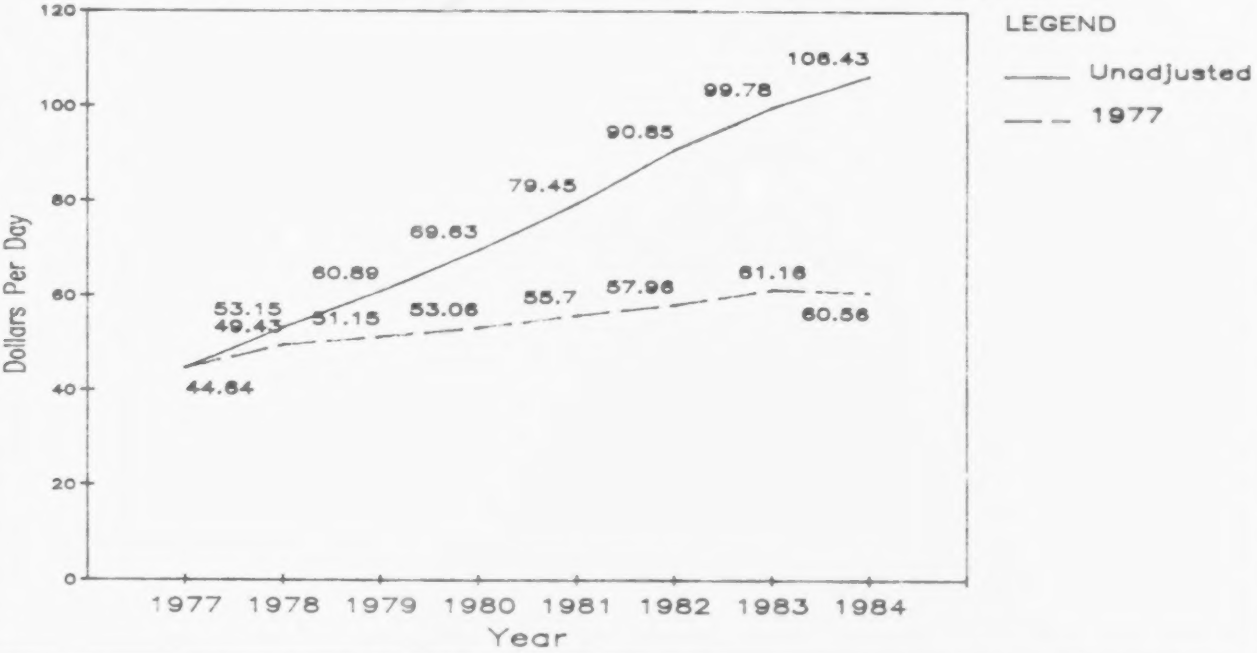
This chart represents the changes from FY 1977 to FY 1984 in States' populations in MR/DD Institutions. The States are ranked from highest to lowest in terms of the FY 1977 population: the cross-hatched portion of the bar for each State represents the FY 1984 population, and this combined with the solid portion on top sums to the FY 1977 population. Thus, the FY 1977 populations ranged from nearly 19,000 (New York) to about 100 (Alaska), while the FY 1984 populations range from about 12,000 (New York) to slightly under 100 (Alaska).

Because of the great difference in institutional populations from state to state, the chart has been presented in two parts, so that separately scaled Y-axes can better present each state's population trend. It should also be noted that Louisiana, Tennessee, Mississippi and Nevada had population increases during this period, and are therefore left off the chart. Their populations were:
1977--La., 3245; Ms., 1720; Nv., 118; Tn., 2071
1984--La., 3270; Ms., 1790; Nv., 166; Tn., 2152

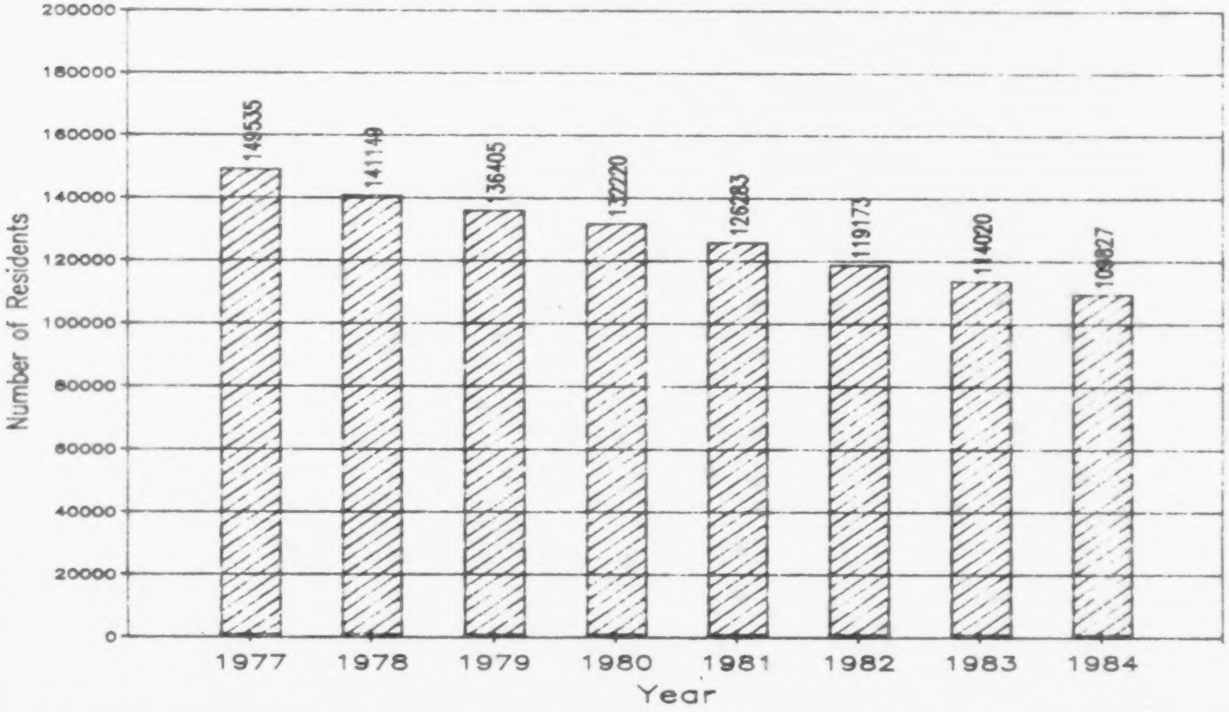
4. Depopulation Rates of Public MR/DD Institutions, Ranked by State: FY 1977 to FY 1984. . . . . .page 78

This chart presents rates of change, expressed as percentages, in state-by-state institutional populations across the 1977 - 84 period. The rate of change, or depopulation rate, was determined by subtracting 1984 institutional populations from the 1977 census, and dividing the net result by the 1977 institutional population. Four states had increases in Institutional Populations during the period--in other words, the depopulation rate was a negative percentage. Three of these states are represented on the Chart as bars which go below the "0" mark on the Y-Axis. The fourth, Nevada, had a 41% increase during the period and is left off the chart since its large negative percentage would distort the scale.

UNITED STATES
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



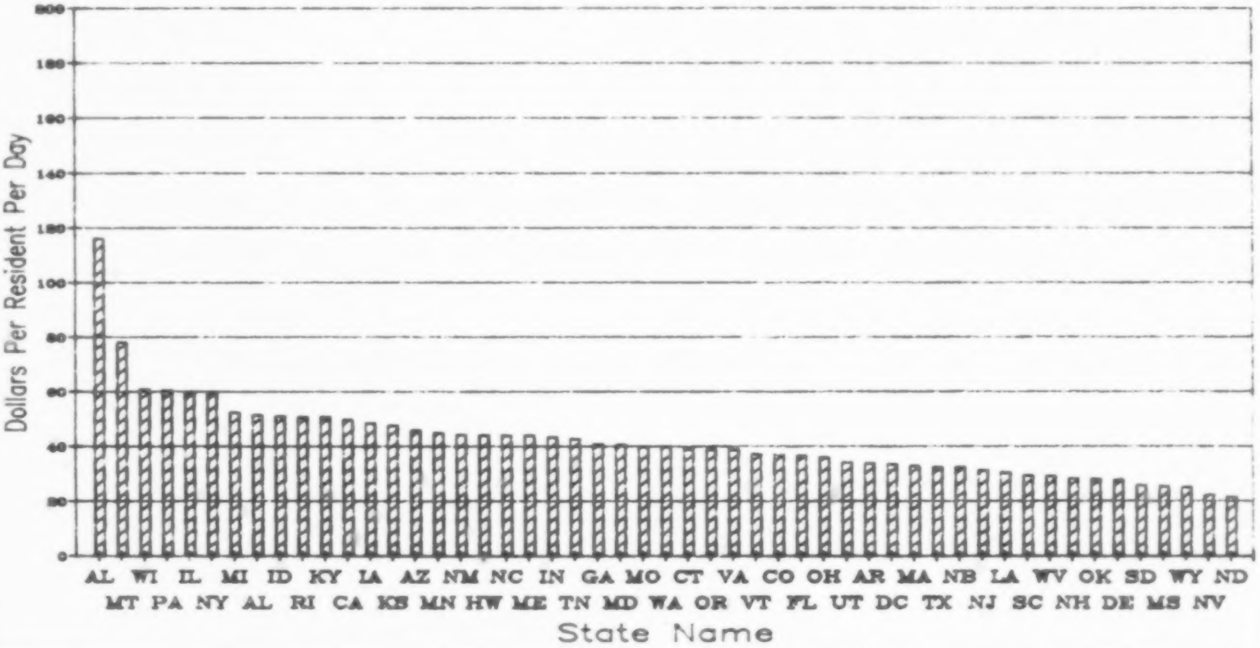
Average Daily Residents in Institutions FY 1977–1984



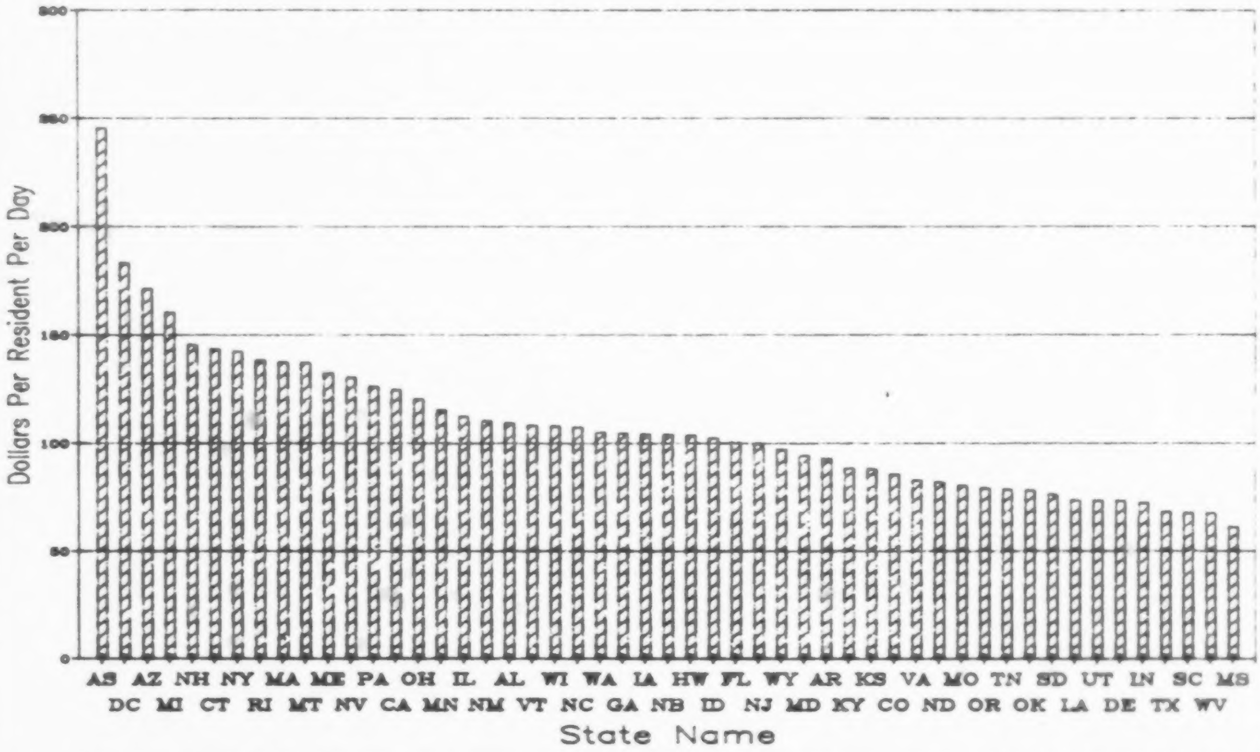
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Daily Expenditures Per Resident in Public MR/DD Institutions, Ranked by State: FY 1977 and 1984

FY 1977

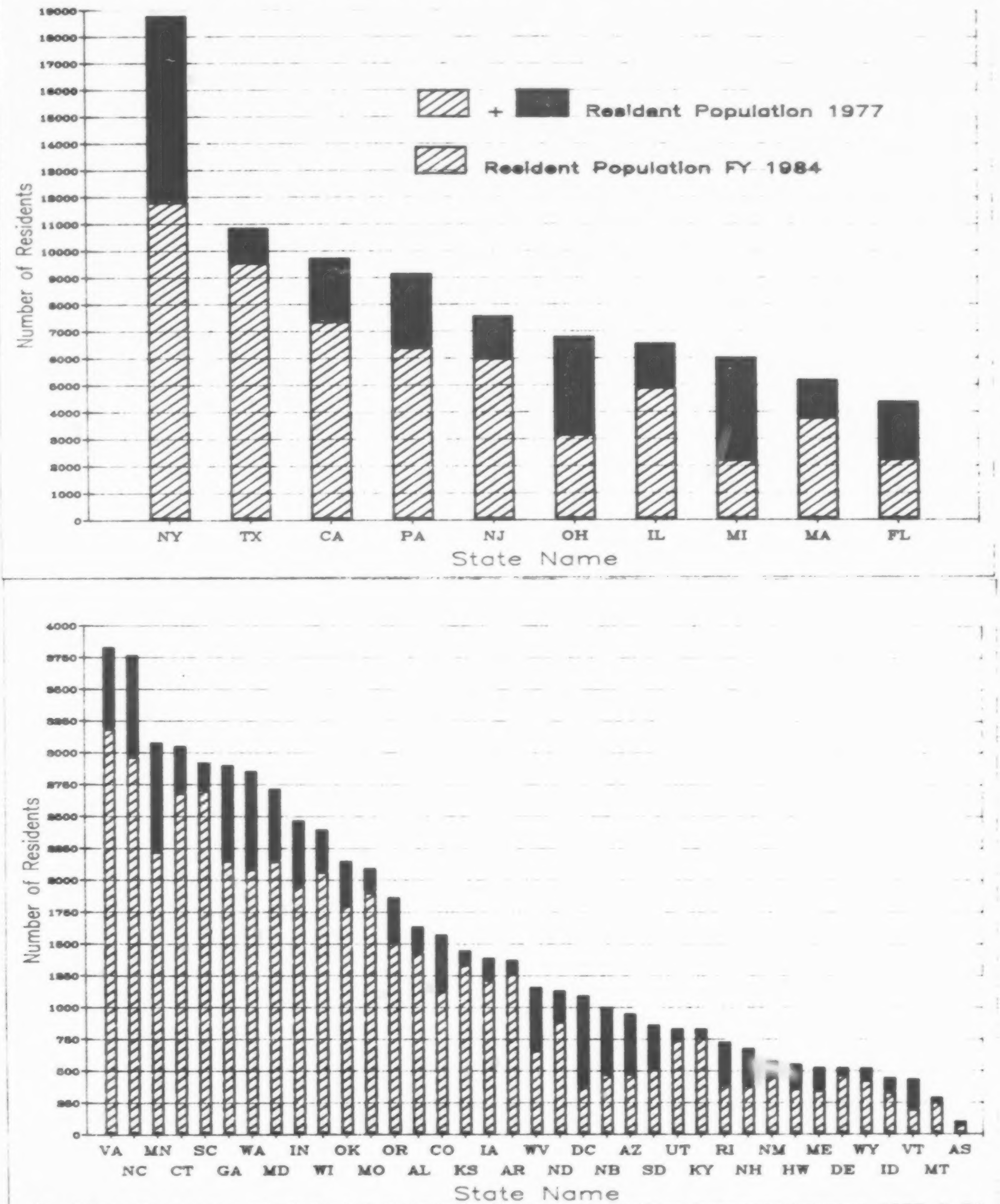


FY 1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

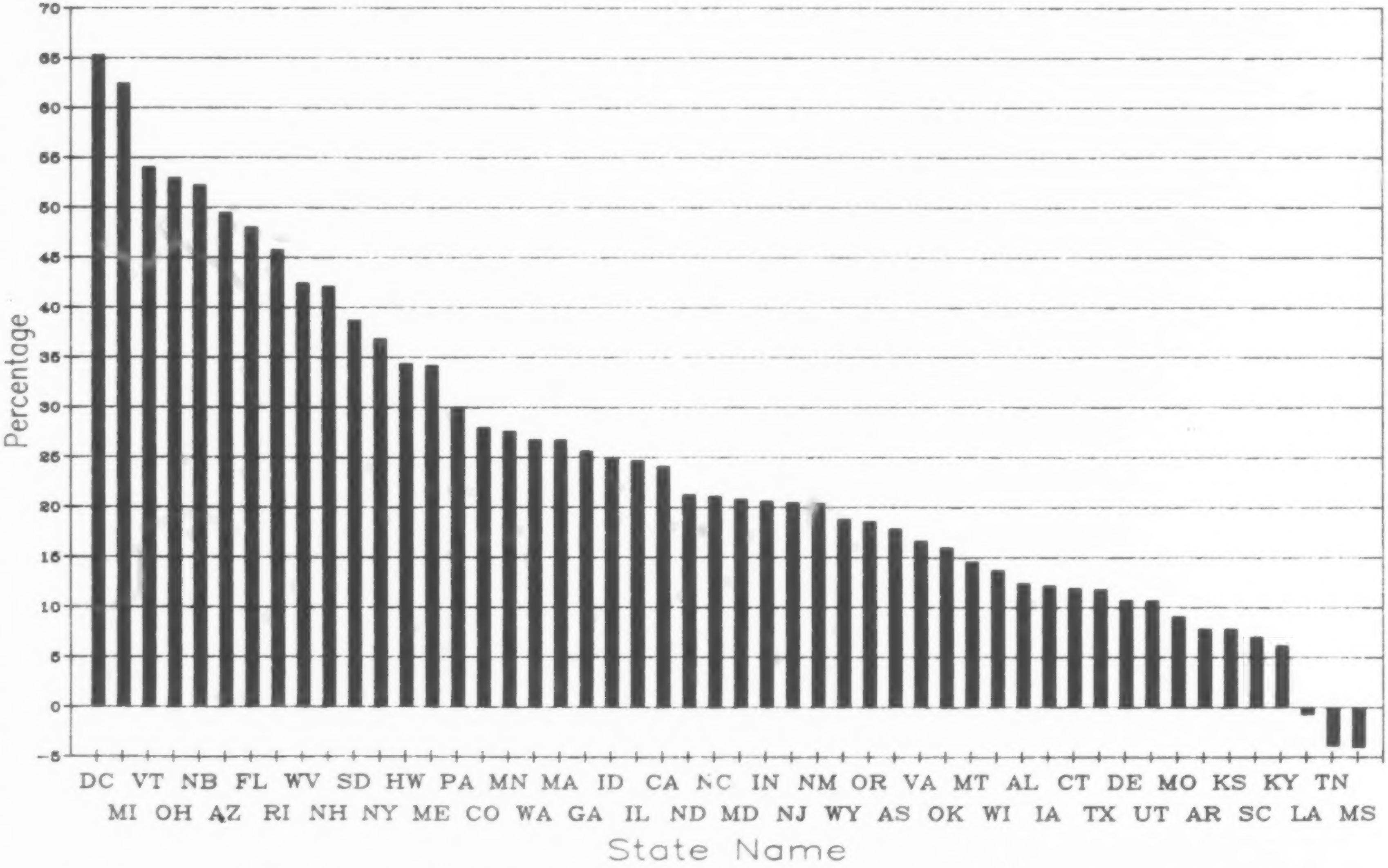
Population Trends in MR/DD Institutions in the United States: FY 1977 & 1984



*Louisiana, Tennessee, Mississippi & Nevada institutional populations increased between 1977 & 84

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Depopulation Rates of Public Mental Retardation Institutions: FY 1977–84, By State



Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PART TWO

STATE PROFILES

Part Two presents a series of charts and technical notes for each State and for the District of Columbia. Ten of the United States Charts presented in Part One have formats which are replicated exactly for each State. Thus, a "state profile" consists of these ten pages of charts (the page number in parenthesis indicates the location of the discussion of the particular chart format, in Part One):

1. Comparative Annual MR/DD Expenditures for Institutional and Community Services, FY 1977 - 1984 (page 13)
2. MR/DD Expenditures for Institutional Services/Community Services: A Comparison of State and Federal Funding: FY 1977 - 1984 (page 13)
3. MR/DD Expenditures for Institutional and Community Services: A Comparison of State and Federal Funding FY 1977 and 1984 (page 14)
4. Eight Year Total MR/DD Expenditures by Revenue Source: FY 1977 -1984 (for Institutional Services and Community Services Funds) (page 14)
5. MR/DD Expenditures for Institutional and Community Services as a Percentage of PERSONAL INCOME: FY 1977 - 1984 (page 27)
6. Relative Growth of MR/DD Expenditures for Institutional and Community Services as a Percentage of the TOTAL STATE BUDGET: FY 1977 - 1983, (page 29)
7. MR/DD Expenditures for Institutional and Community Services Expenditures PER CAPITA: FY 1977 - 1984 (page 30)
8. MR/DD Expenditures for Institutional Services: A Comparison of State and Federal Funding FY 1977 - 1984 (page 45)
9. MR/DD Expenditures for Community Services: A Comparison of State and Federal Funding FY 1977 - 1984 (page 53)
10. Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977 - 1984 (page 73)

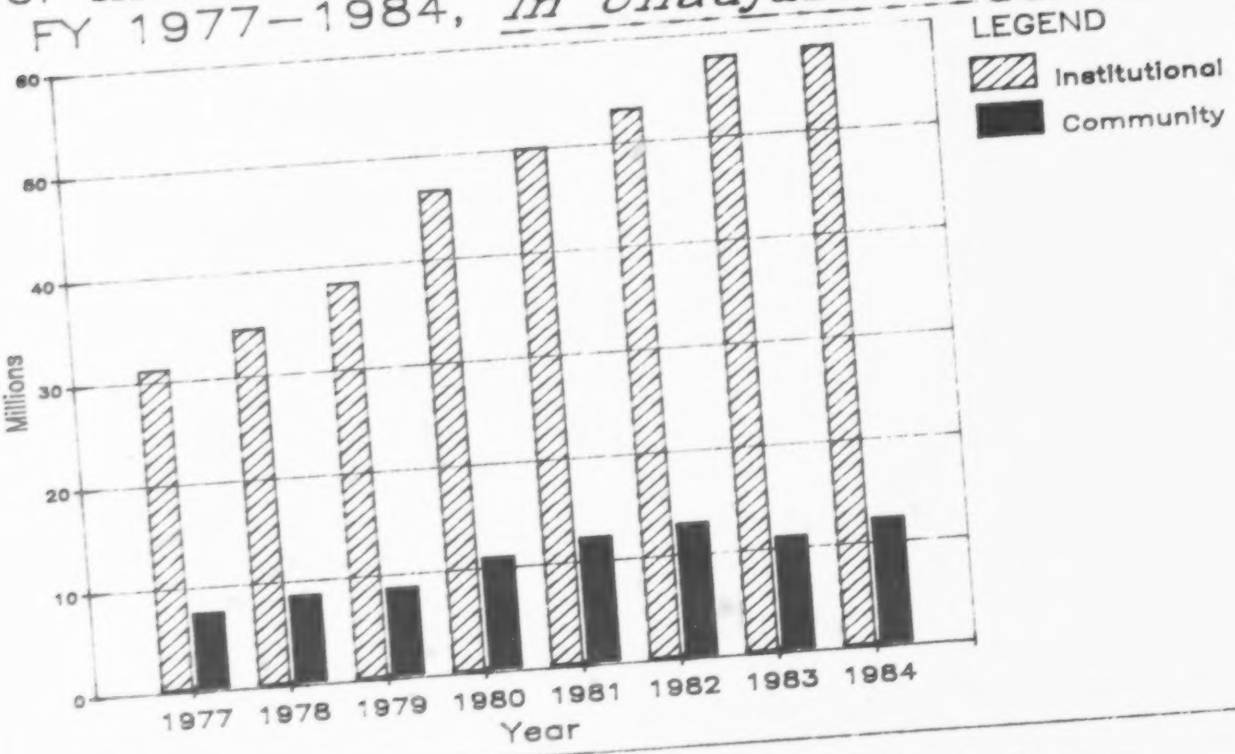
Following these ten pages of charts for each State are "Technical Notes on the Accompanying Charts," which provide the sources of the various expenditure figures. Sources included state budgets, other state documents, direct contact with state officials and, occasionally, Federal Government sources. Also included in the Technical Notes are basic descriptions of any methods used to estimate expenditures, and basic information on the administration of MR/DD services in the State.

ALABAMA

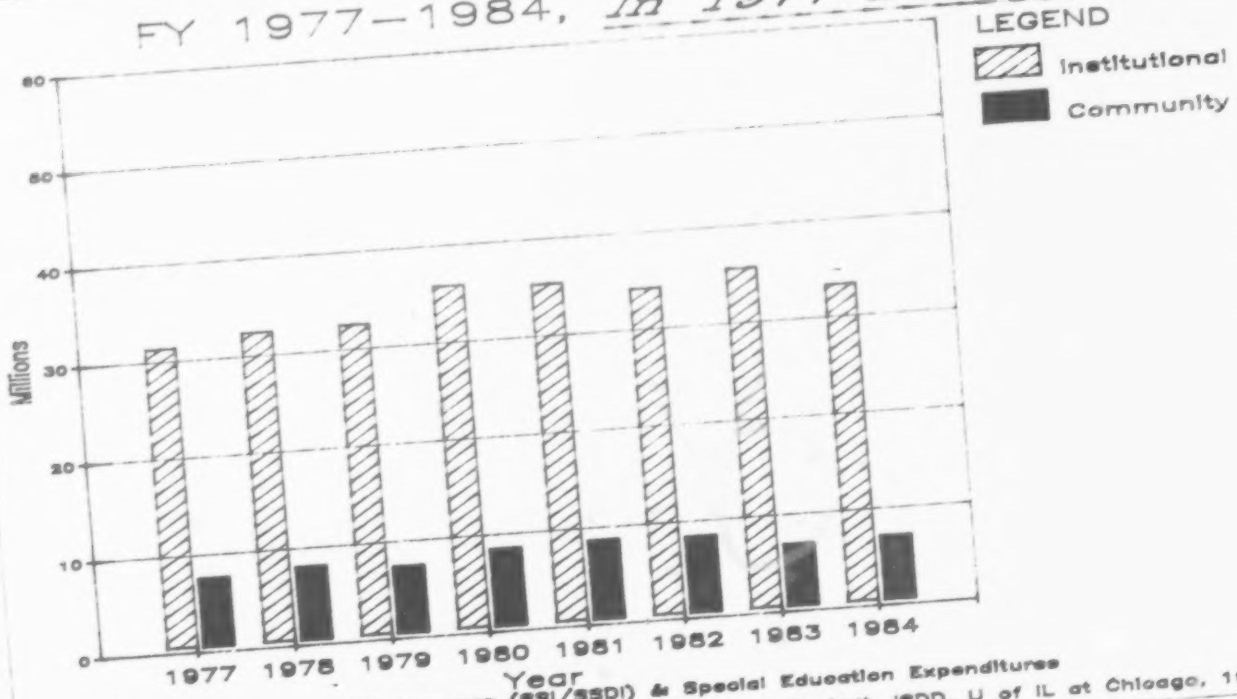
STATE PROFILE

ALABAMA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

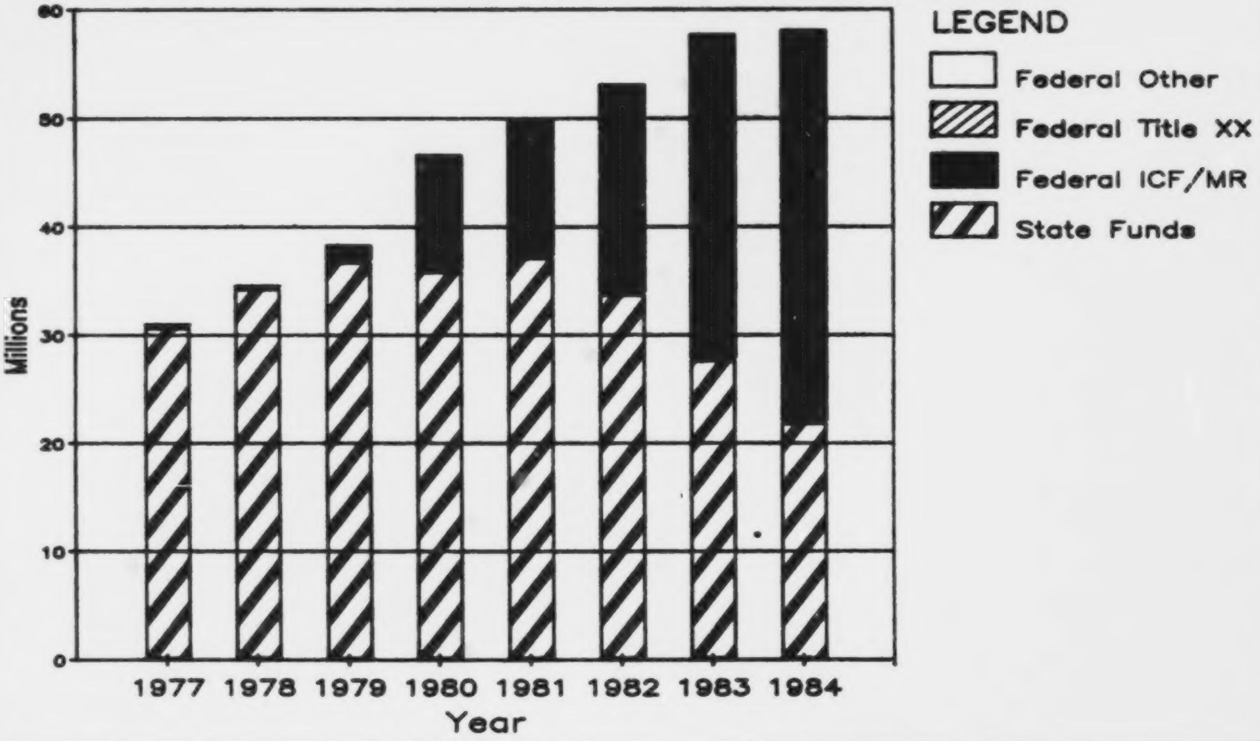


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

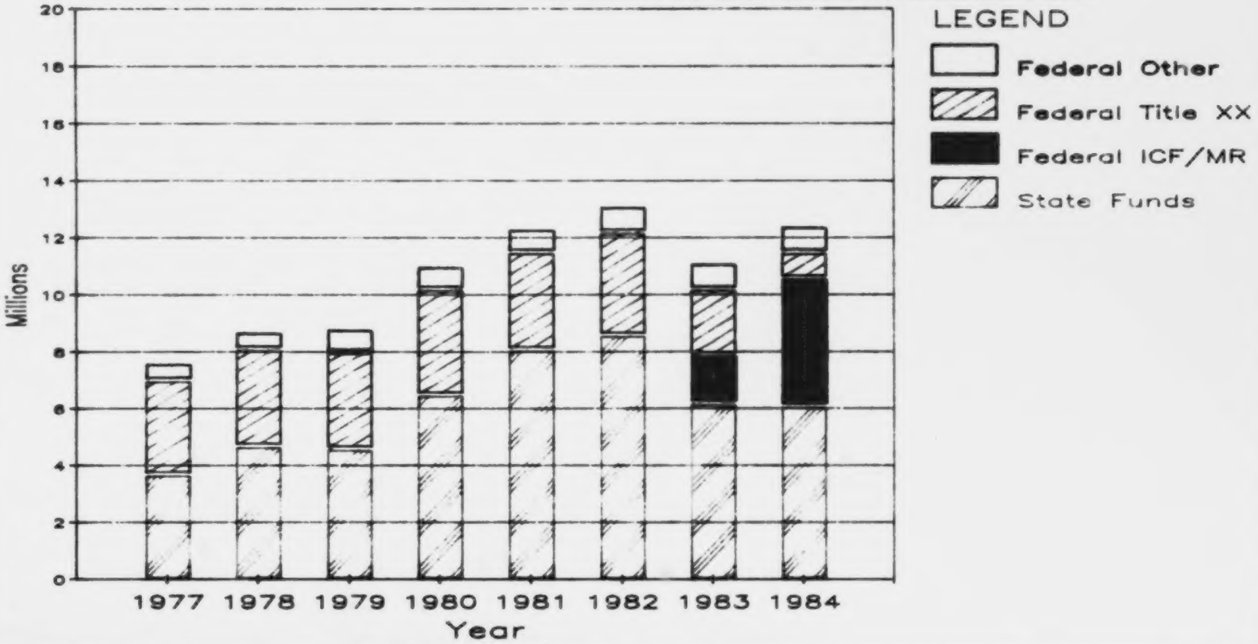
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



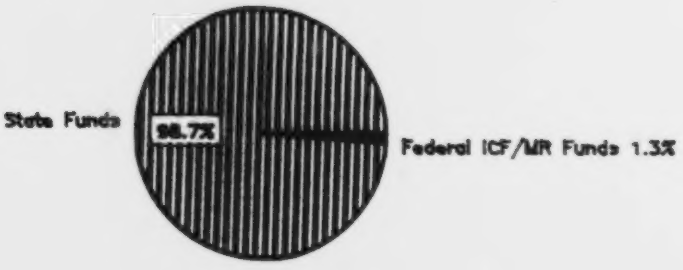
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



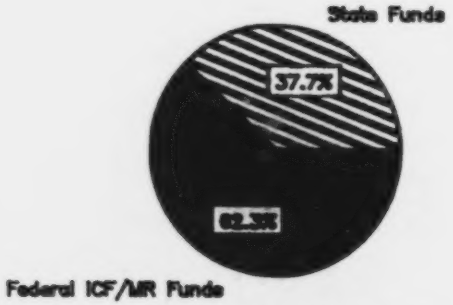
ALABAMA

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

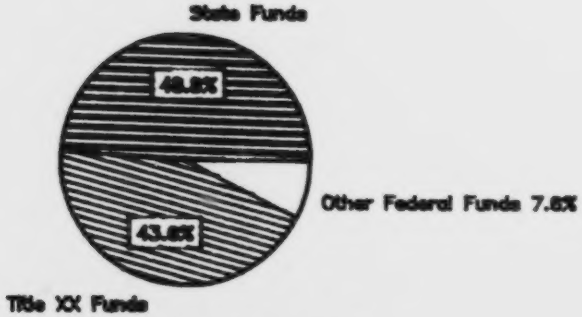
FY 1977 & 1984



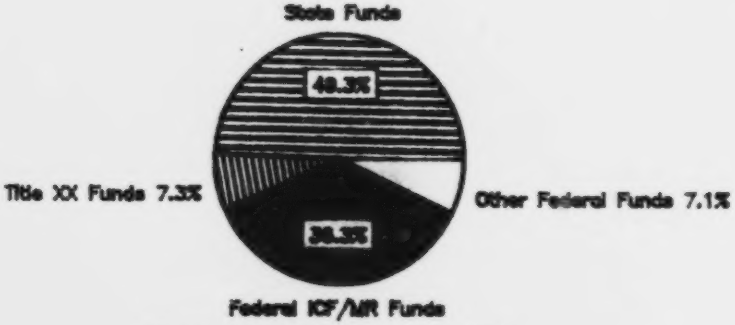
Institutional Funds 1977: $31.3 Million



Institutional Funds 1984: $58.3 Million



Community Funds 1977: $7.6 Million



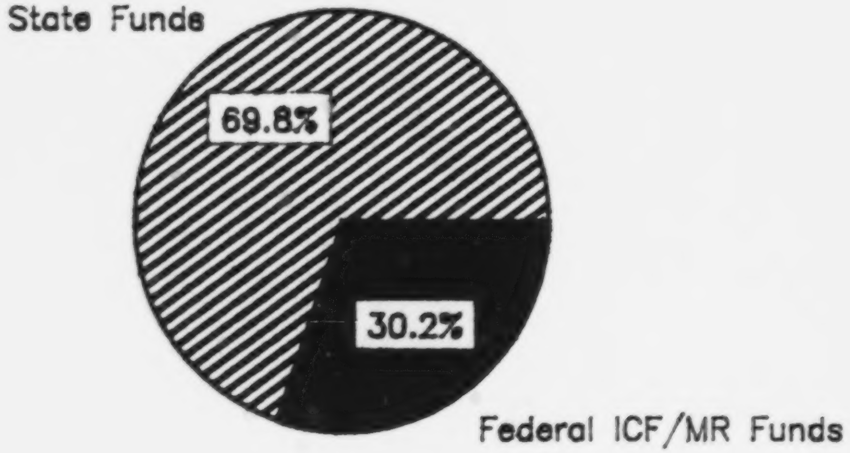
Community Funds 1984: $12.4 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

ALABAMA

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

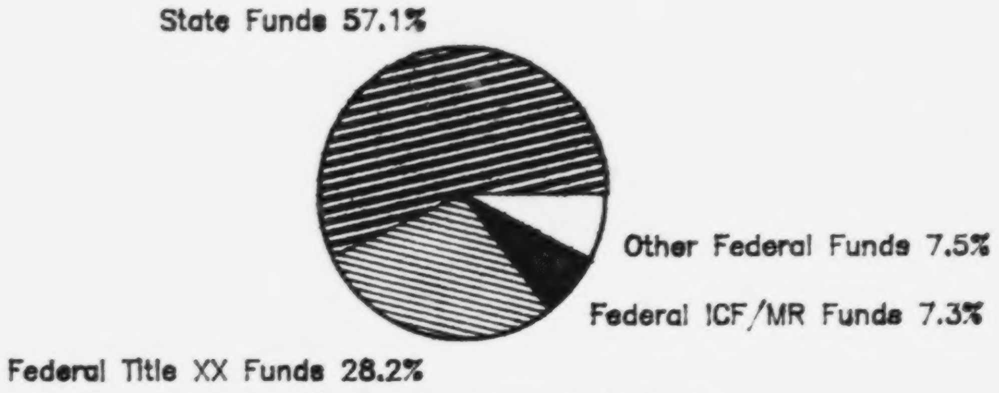
Institutional Services Funds



Total Institutional Funds: $371 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

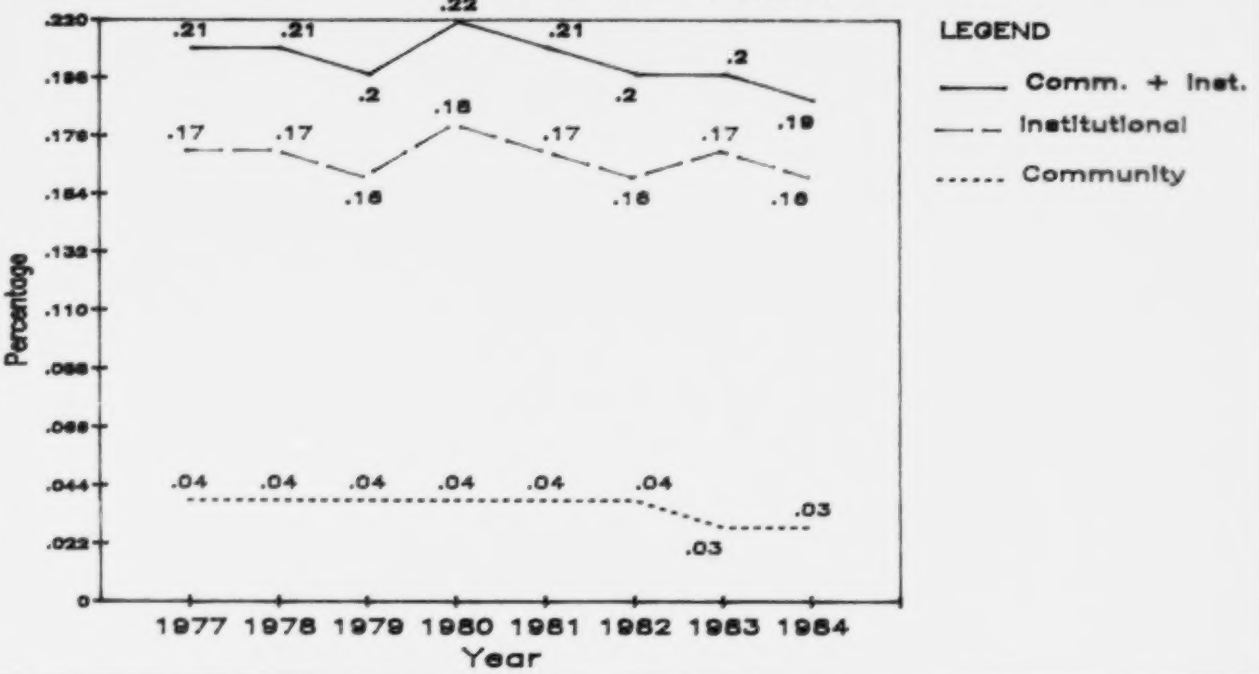


Total Community Funds: $85 Million

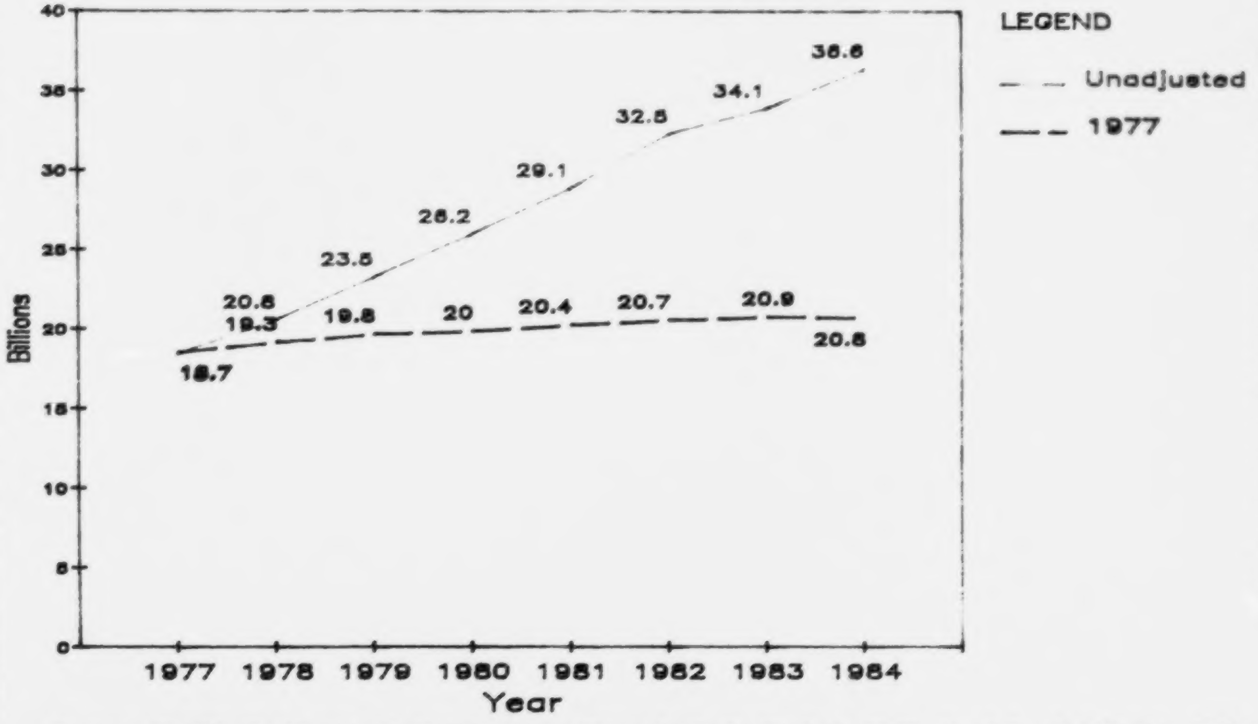
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



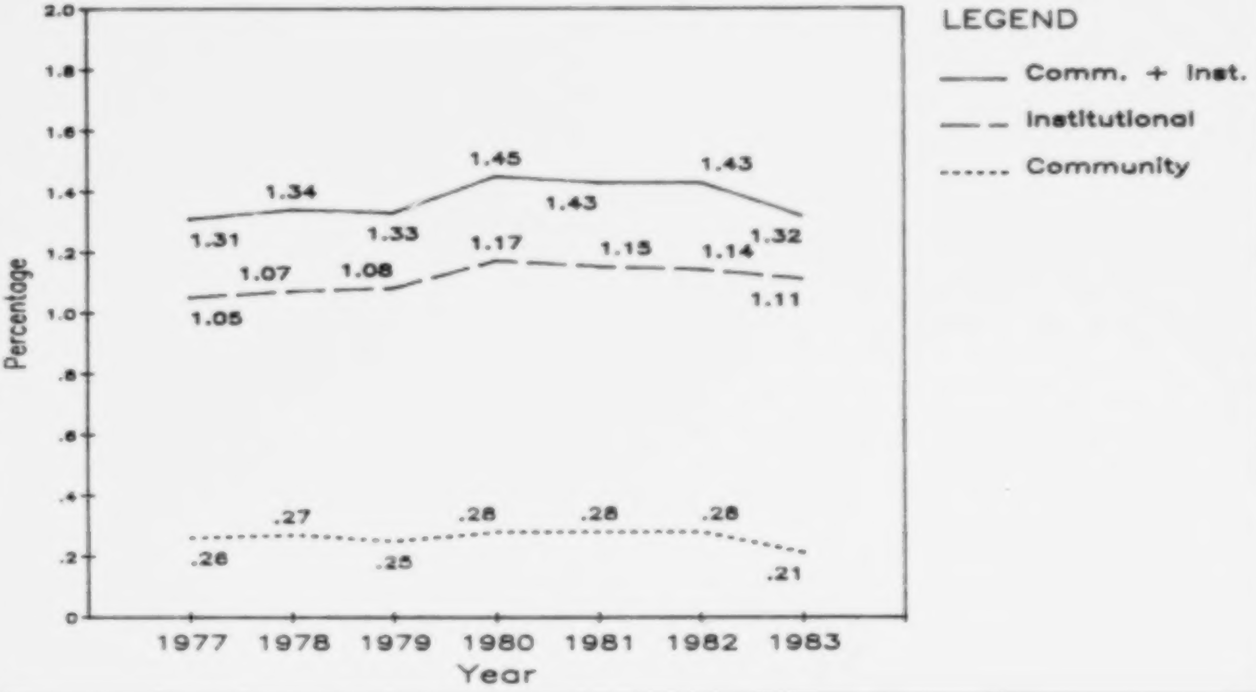
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



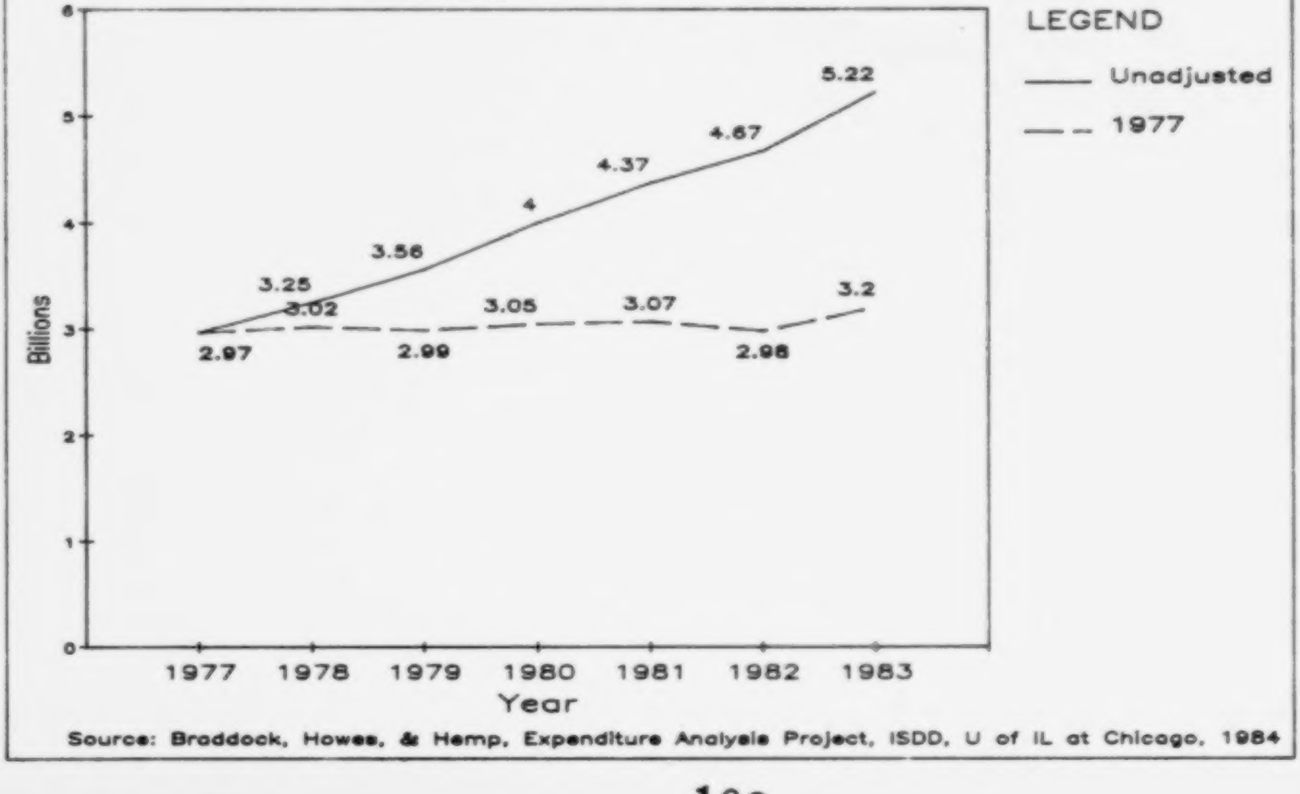
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



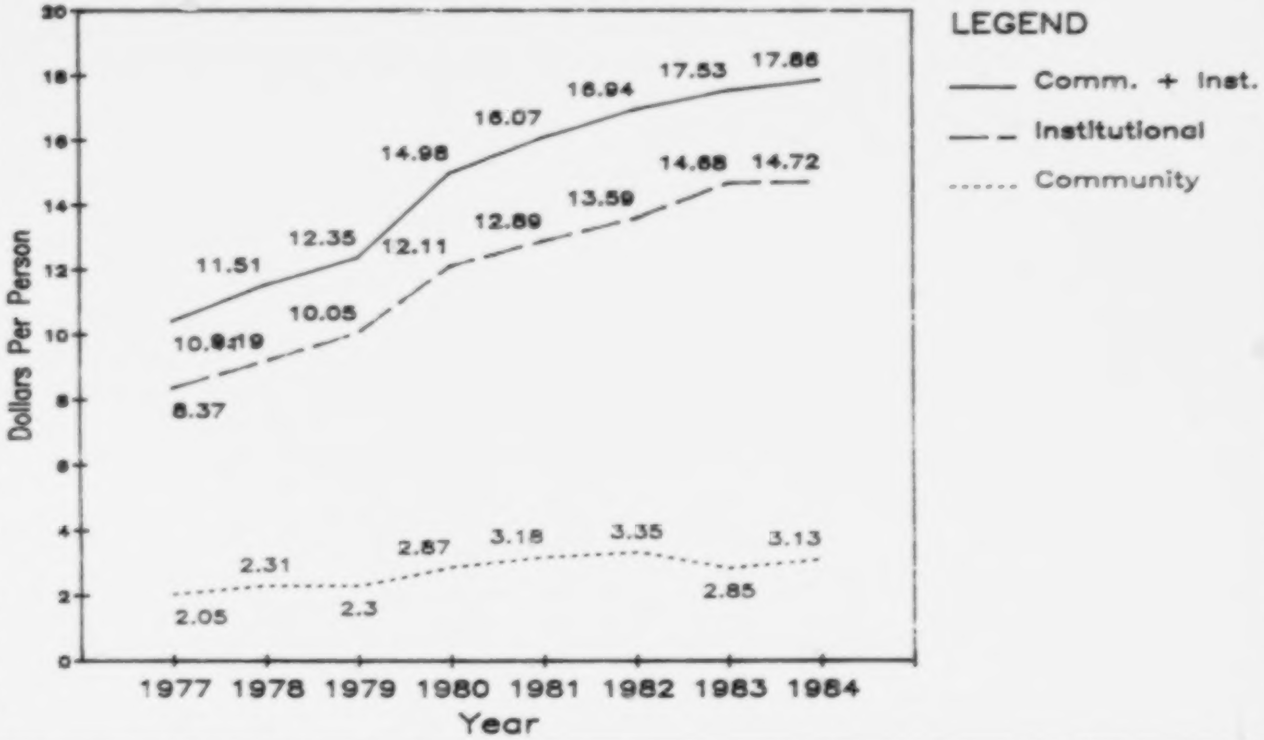
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1983



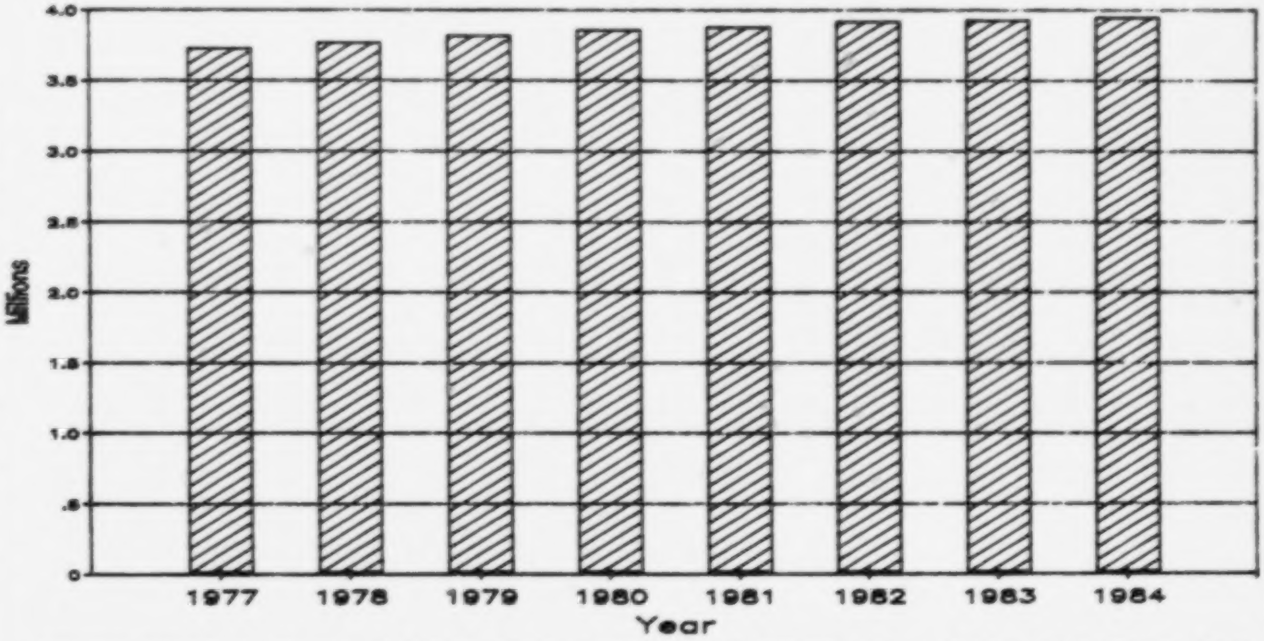
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984

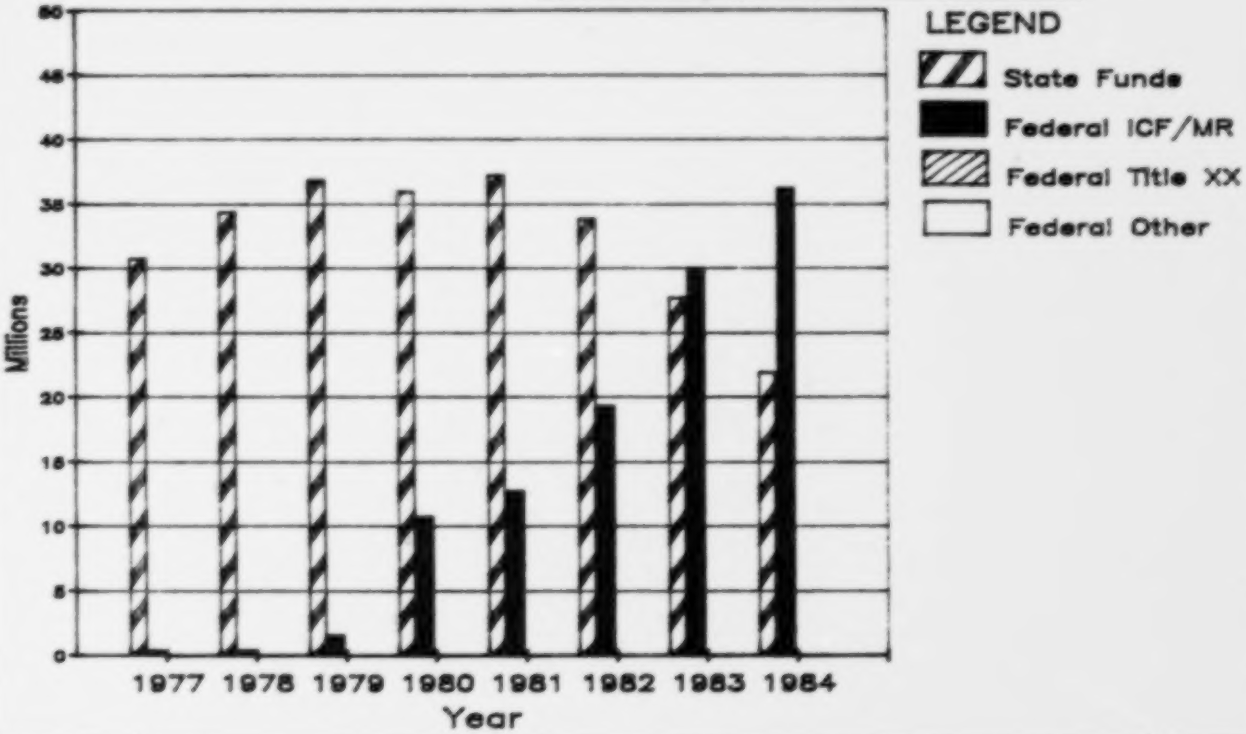


The Total State General Population FY 1977–1984

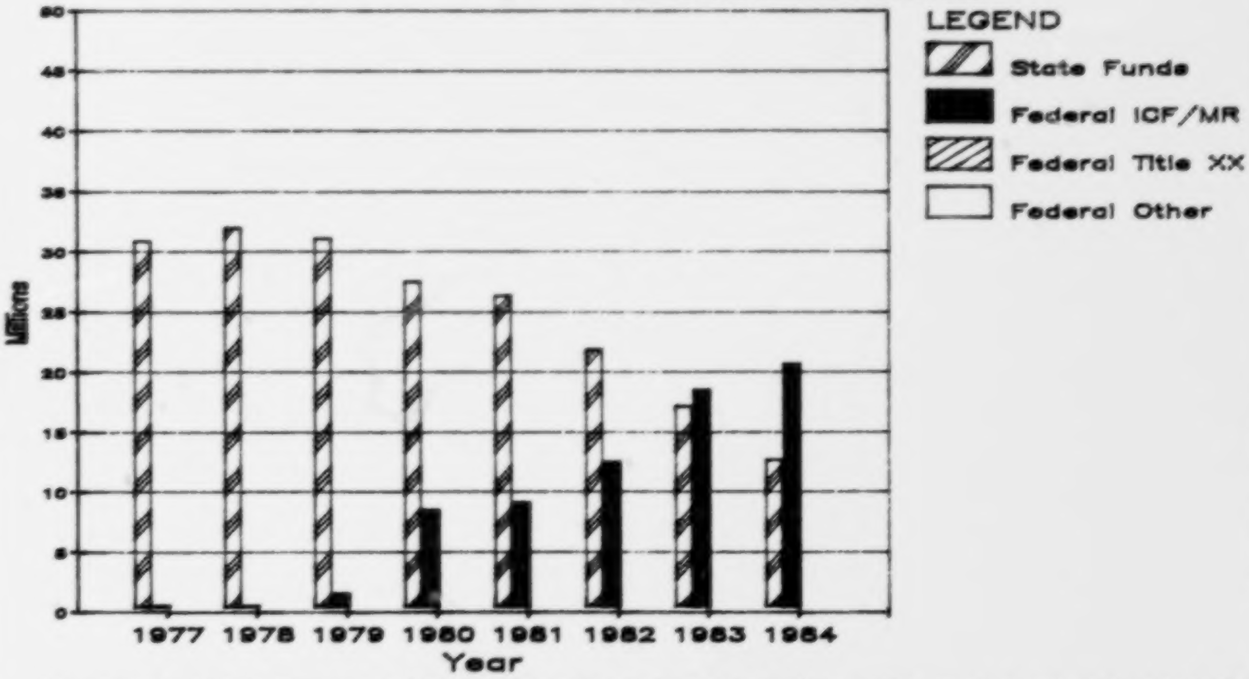


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

ALABAMA
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding
FY 1977—1984, *In Unadjusted Dollars*



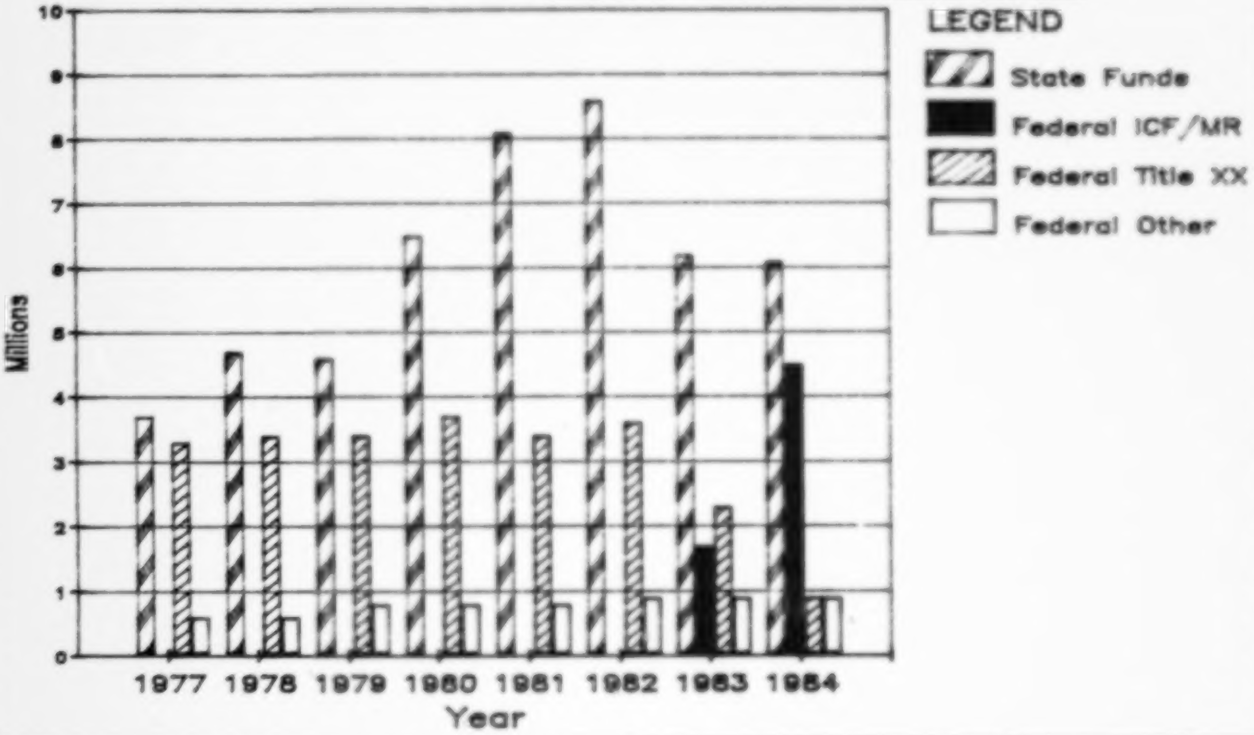
FY 1977—1984, *In 1977 Dollars*



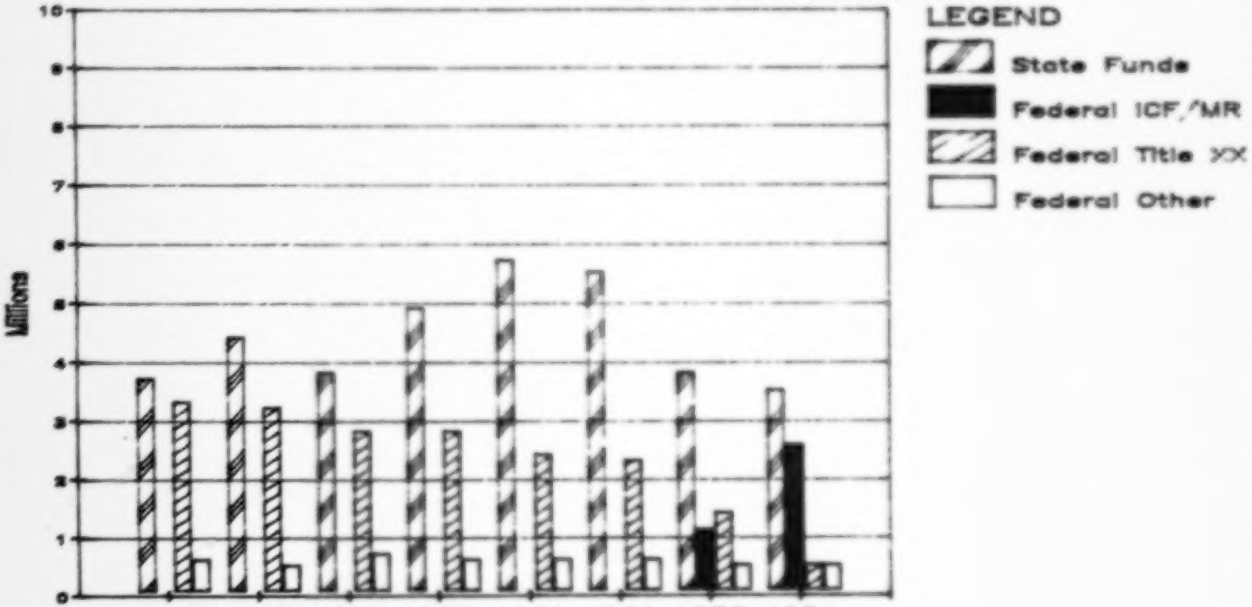
Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



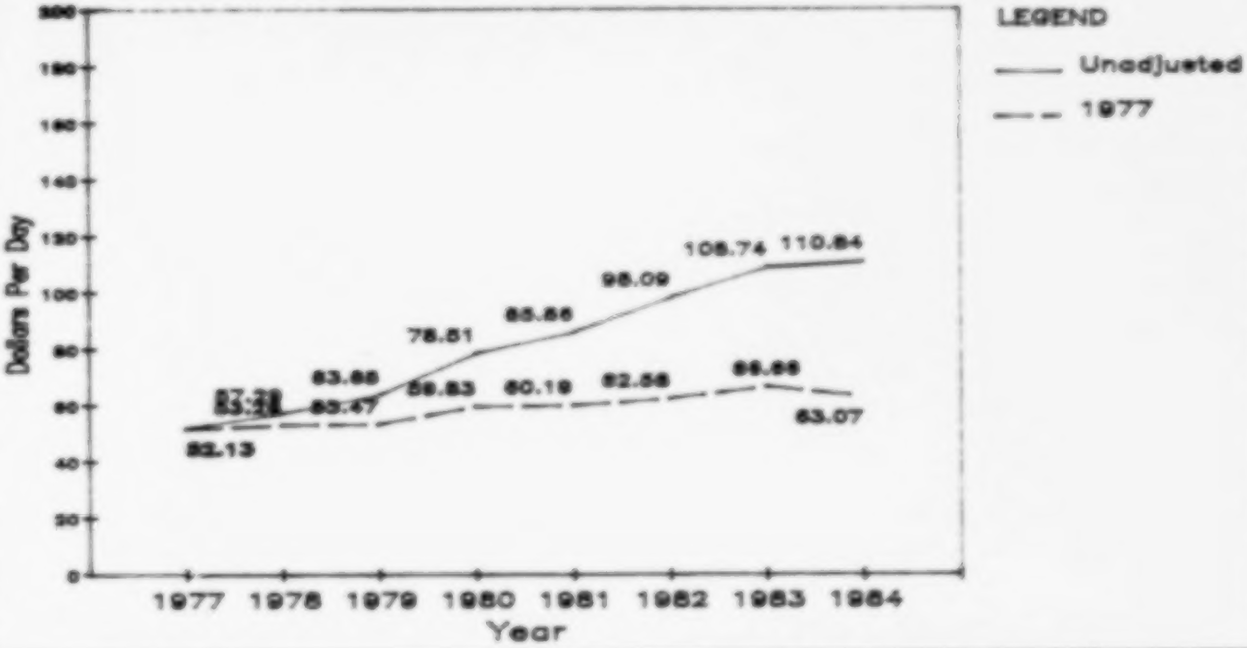
FY 1977–1984, *In 1977 Dollars*



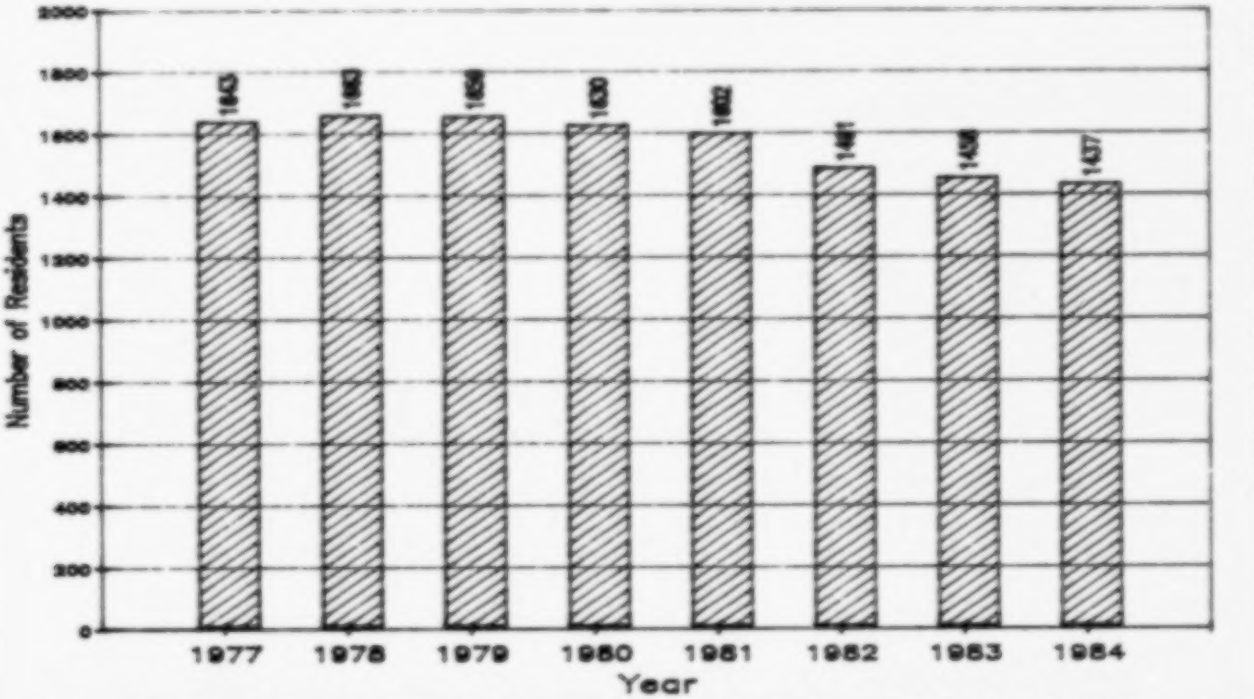
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Hemp, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALABAMA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for mentally retarded and developmentally disabled persons in Alabama are under the management of the Associate Commissioner for Mental Retardation, in the Department of Mental Health (DMH).

2. Budget Format: The DMH budget has the following program elements:

Mental Illness Institutional Treatment and Care
Non-institutional Treatment and Care: (FY `77 - `81)
    Alcoholism and Drug Abuse Element
    Mental Illness Element
    Mental Retardation Element
Institutional Treatment and Care--MR Program
Administrative Services Program
Institutional Treatment and Care--Criminally Insane Program

Note: The Non-institutional Treatment and Care program was changed in FY `82 to:

Community Services Program:
    MI and Substance Abuse Element
    Administrative Support Element
    MR Element"

3. Note on Data Sources: Alabama Executive Budget documents were reviewed for budget years FY `79, `80, `81, `82 and `84. They provided "actual" expenditures for FY `77, `78, `79 and `82; "estimated" expenditures for FY `80; "budgeted" expenditures for FY `81 and `83; and "Governor's Recommended" for FY `84.

The budget format did not provide sufficient detail on funding sources; so Allen Marchetti, Ph.D., Executive Assistant to the MR/DD Associate Commissioner's Office, was contacted. Community and Institutional expenditures and funding source data were provided in 9/20/83 correspondence, and in a subsequent phone interview (10/13/83). These revised data classified expenditures as "actual" for FY `77-`82; "revised estimate" for FY `83; and "appropriated" for FY `84--with the exception of FY `84 Title XIX Waiver revenue (see Note 8 below).

II. INSTITUTIONAL SERVICES

4. Institutional Services. These figures correspond closely with the budget line in the Executive Budget documents termed "Institutional Treatment and Care--MR Program" with the exception of FY `80, in which the budget book "estimate" figure was approximately $6.0 million higher than the "actual" figure provided in correspondence with the agency. The latter figure was utilized in this analysis.

The aggregated "average residential populations" for the four mental retardation institutions, for the fiscal years of the analysis are:

1977 - 1,643
1978 - 1,663
1979 - 1,659
1980 - 1,630

1981 - 1,602
1982 - 1,491
1983 - 1,458
1984 - 1,437

(Source: Dr. Allen Marchetti, 6/12/84, telephone interview.)

5. Other State Funds. This line consists of special levies and utility taxes.

III. COMMUNITY SERVICES

6. Community Services consists of expenditures reported in the correspondence and subsequent telephone contact. The figures compare closely with the budget line "Non-Institutional Treatment and Care--MR Element" (FY `77-`81) and "Community Services Program--MR Element" (FY `82 - `84). Exceptions are FY `83 and FY `84, where the figures provided in correspondence are approximately 30% higher than the Community Services Program-MR Element figures in the Executive Budgets. This variance is accounted for by the fact that the budget documents only reported State Funds for FY `83 and `84, whereas the Agency in correspondence also reported Title XIX Community Care Waiver Federal funds (see Note 8 below).

7. Other State Funds. As in Institutional Services Funds, this line includes special levies and utility taxes (see Note 5 above). In addition, this line includes the 12 1/2% private match funds to Title XX (SSBG)--see Note 9 below.

8. Title XIX consists of Federal Medicaid revenue for reimbursement of services provided under the Community Care Waiver. These figures were reported 10/13/83 by the Agency (the FY `84 figure is "estimated"). The decrease in State Funds for Community Services (from $8,010,000 in FY `82 to $5,851,000 in FY `83 and $5,959,000 in `84) is a result of the Waiver revenue supplanting state funding.

9. Title XX. The 9/20/83 correspondence reported only the total for Federal revenues within Community Services Funds. However, in the 10/13/83 telephone interview it was noted that these funds are almost exclusively made up of Title XX and DD Act revenues. Therefore, what is reported here are calculated figures, derived from the subtraction of DD Act funds (further explained in Note 10 below) from the "Community Services-Federal Funds" total provided in the correspondence.

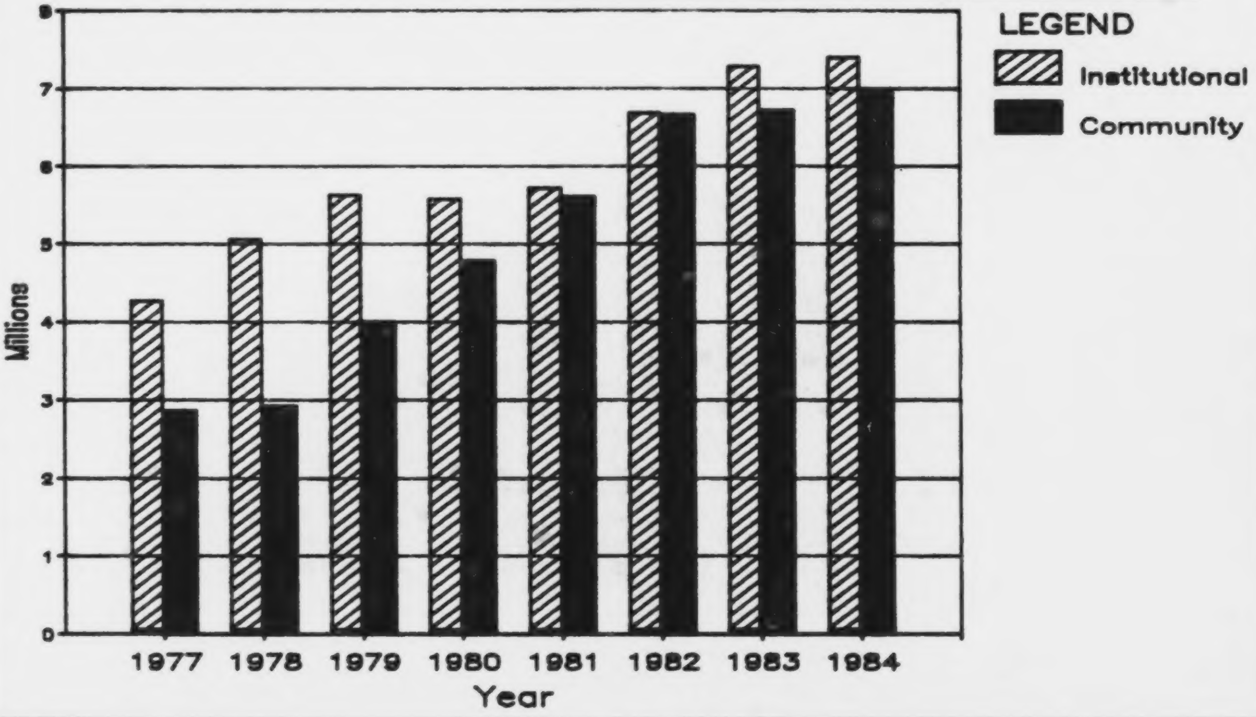
   Note: There is a 12 1/2% state match and a 12 1/2% private match to these Federal funds. The State match funds were included in State General Fund figures provided in correspondence; the 12 1/2% private match funds are included in the Other State Funds line of this analysis.

10. Other Federal Funds consist of the DD Act revenues, reported 10/13/83 by Mr. Dale Scott, Alabama Developmental Disabilities Council. The FY `77 and `78 figures each exclude $64,100 in funds administered by the Public Health Department for facility construction. The FY `84 figure is "anticipated" by the Council.

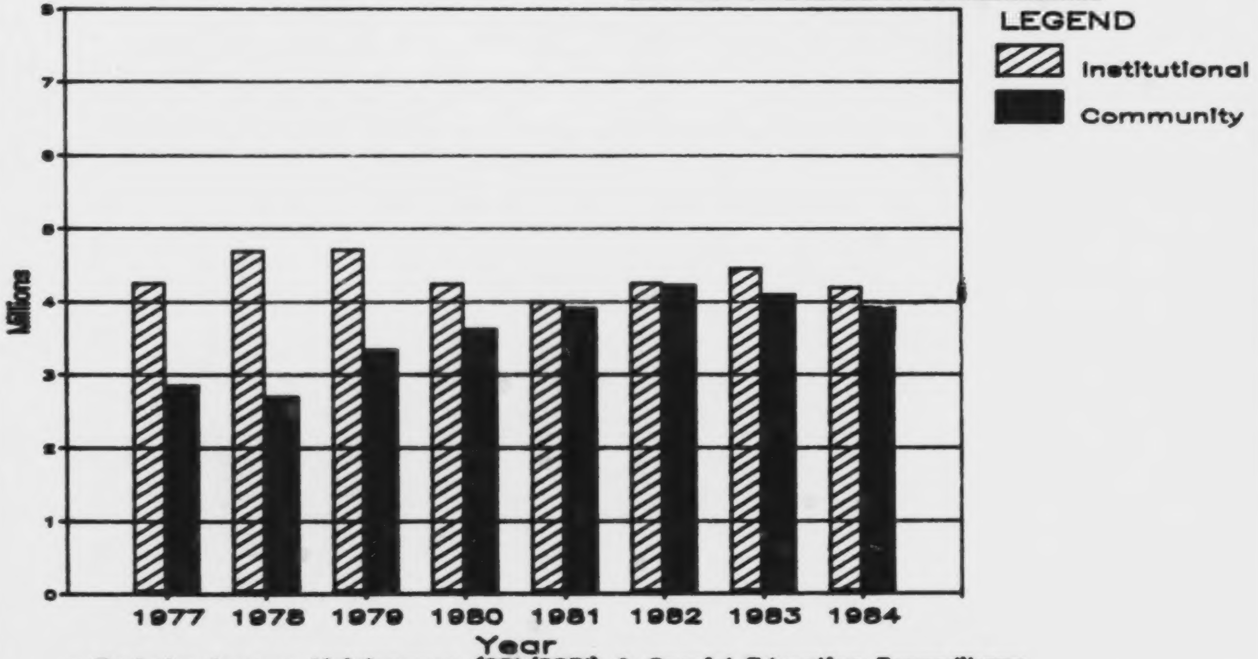
11. Private ICF/MR. There are no private ICF/MR programs. However, there are projections for development of ICF/MR Fifteen Bed or Less facilities, and Federal and State Match funds are to be reported in the DMH budget.

ALASKA
STATE PROFILE

ALASKA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

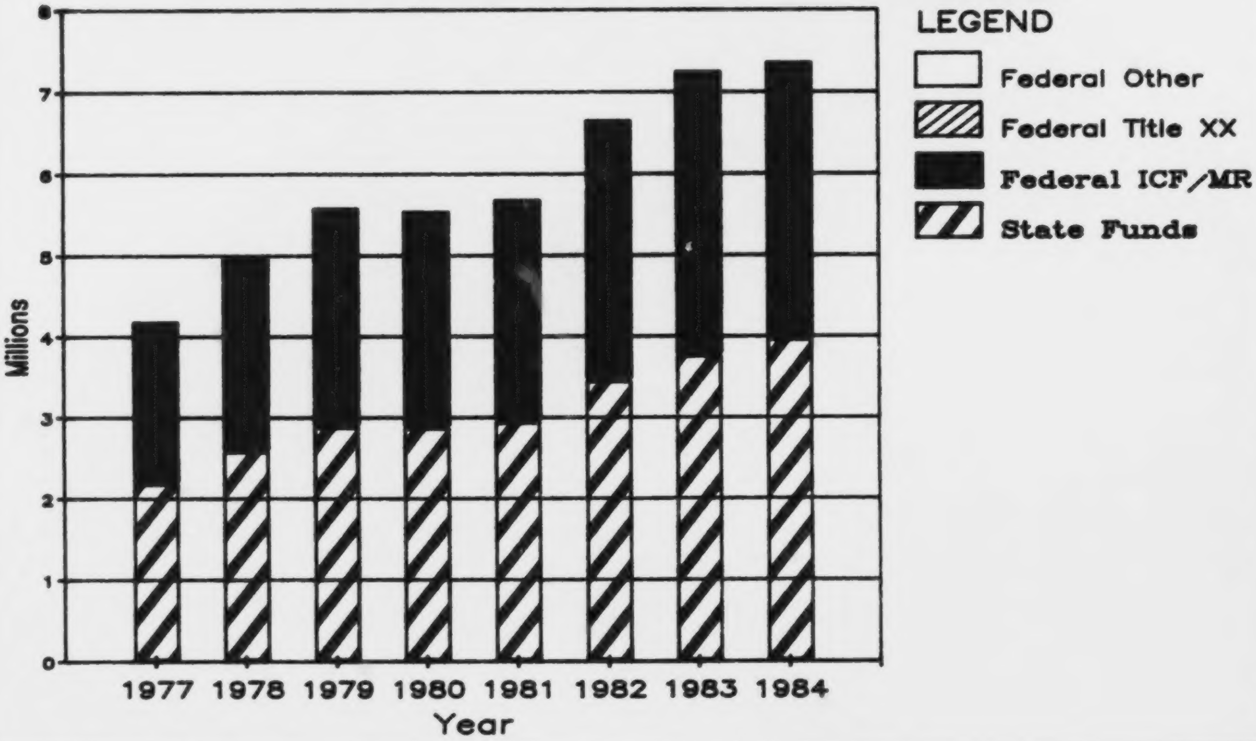


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

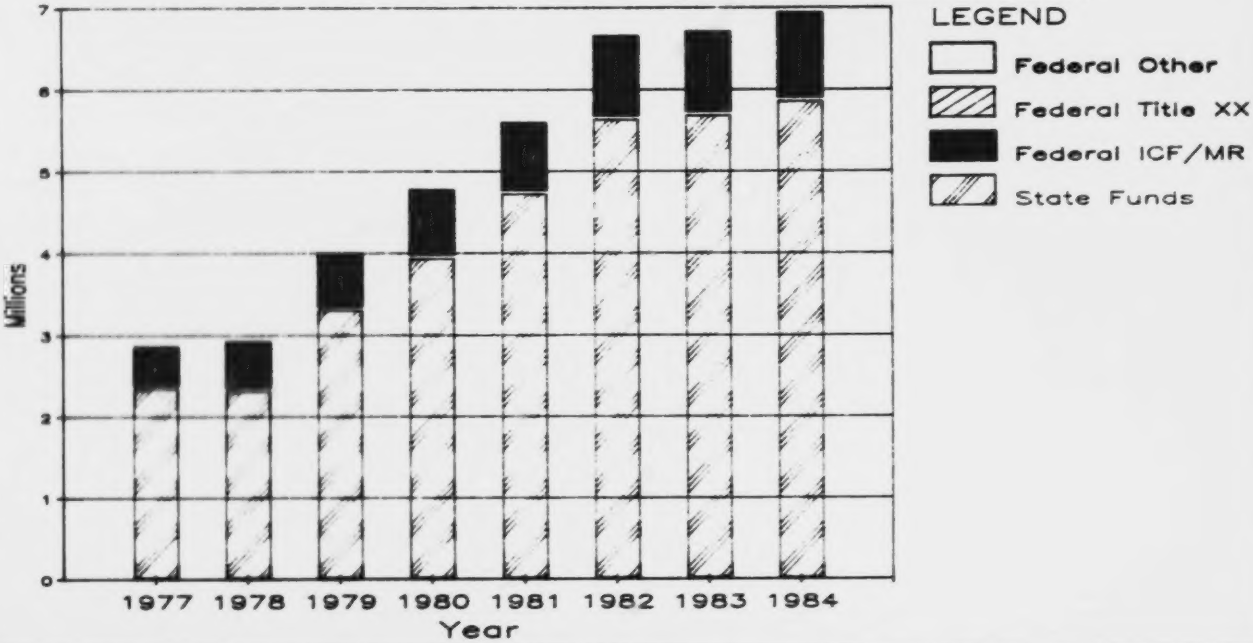
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALASKA

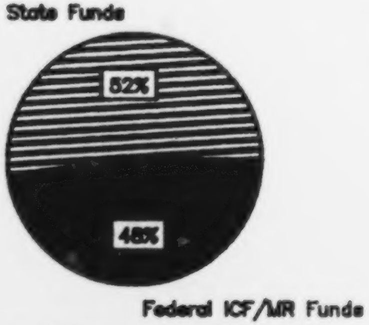
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984 *In Unadjusted Dollars*



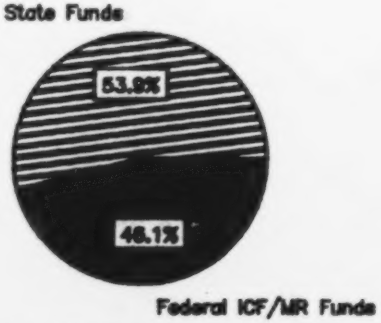
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



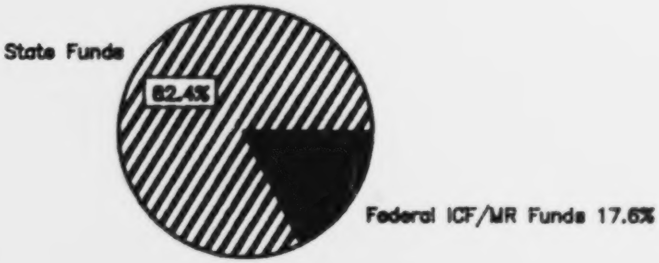
ALASKA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



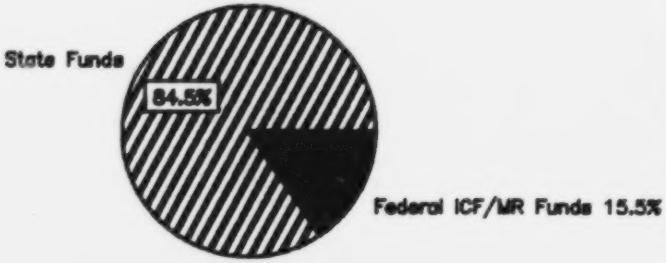
Institutional: 1977 Total Funds: $4.26 Million



Institutional: 1984 Total Funds: $7.39 Million



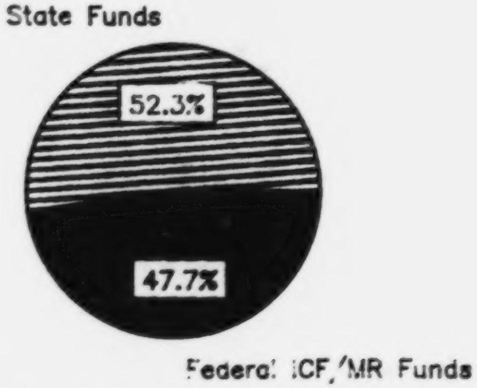
Community: 1977 Total Funds: $2.86 Million



Community: 1984 Total Funds: $8.96 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

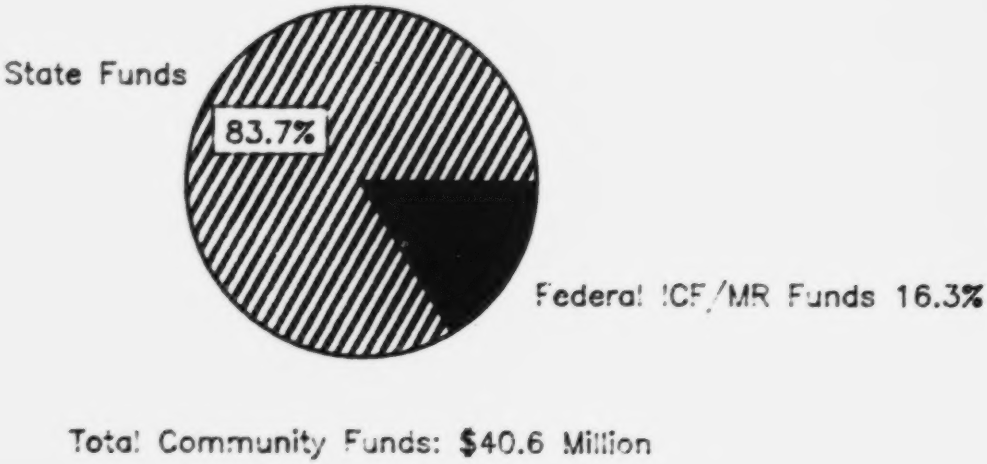
ALASKA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Funds: $47.6 Million

Community Services Funds

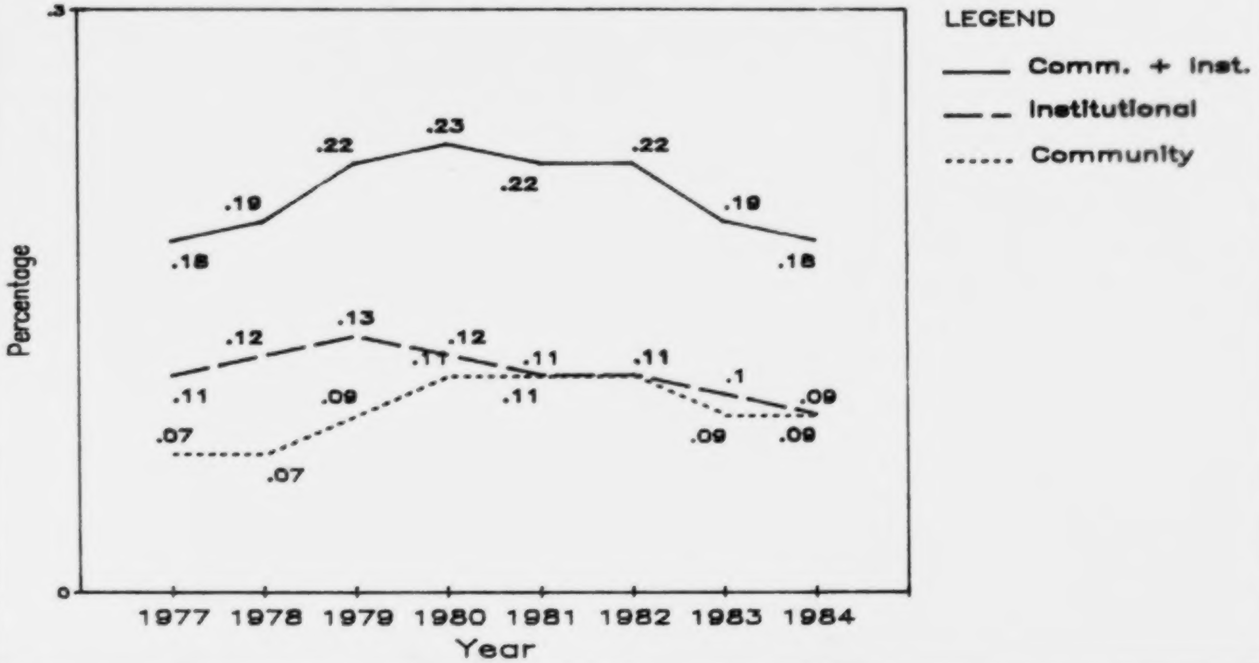
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



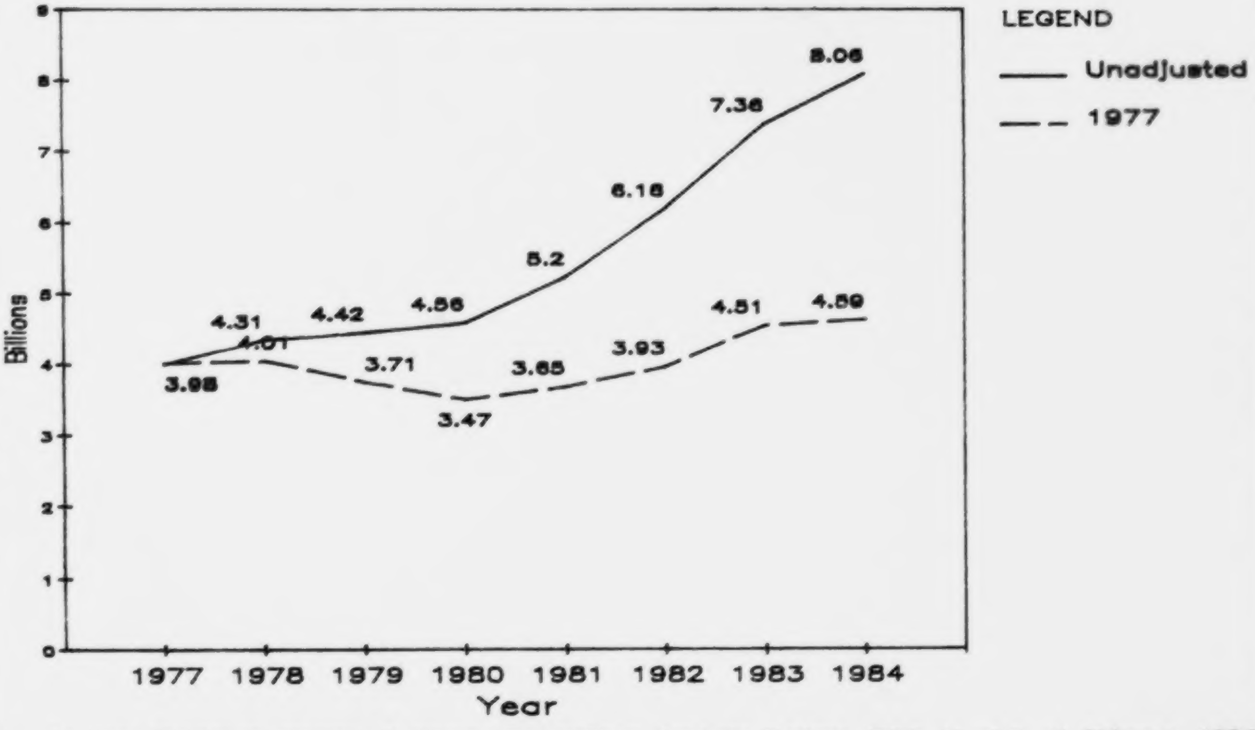
Total Community Funds: $40.6 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALASKA
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



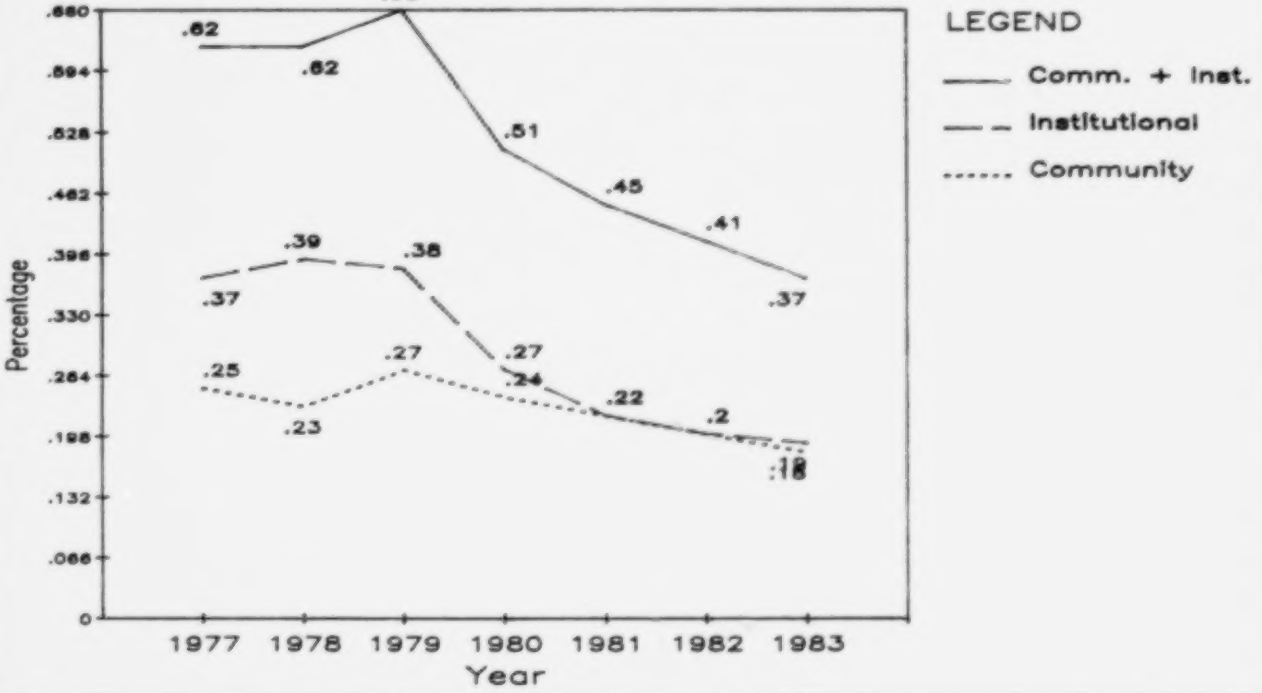
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



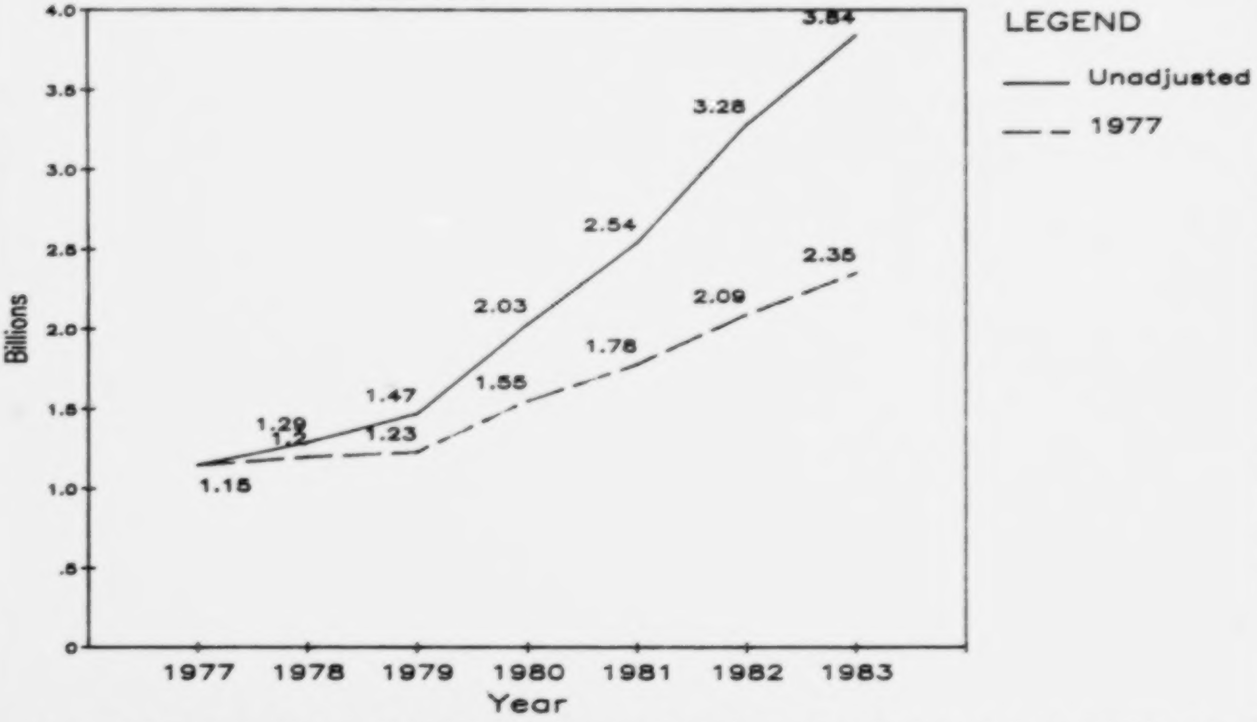
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALASKA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



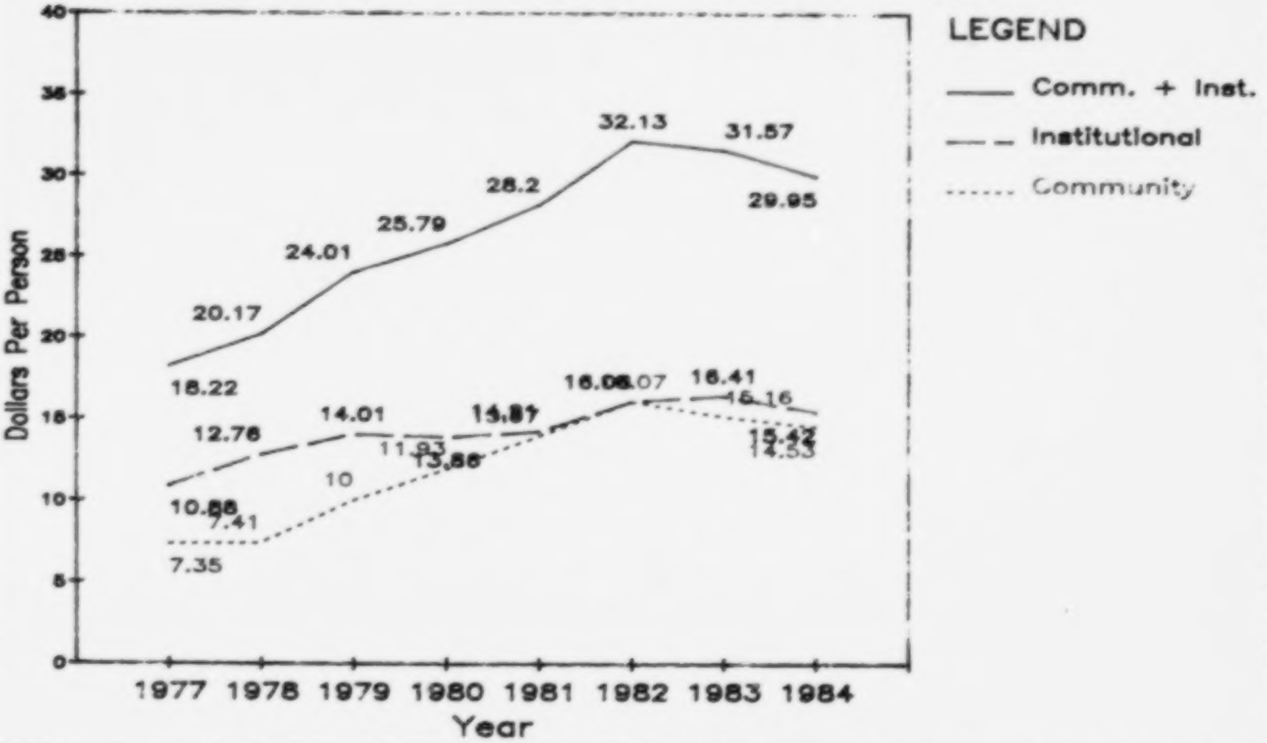
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



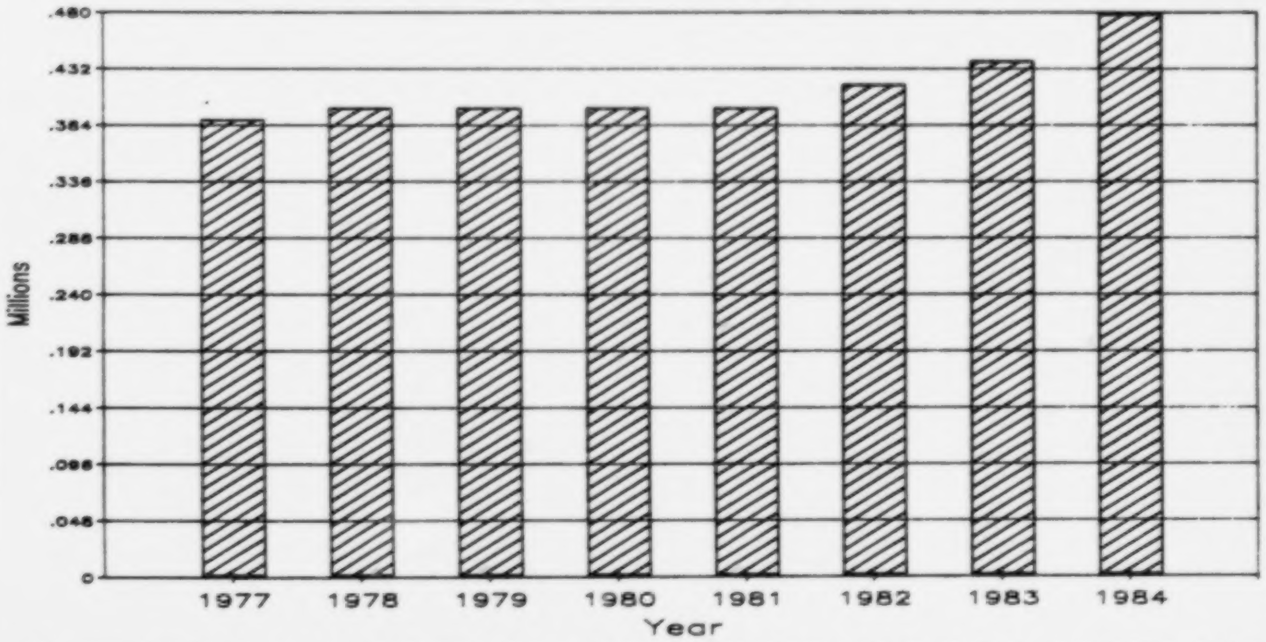
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALASKA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



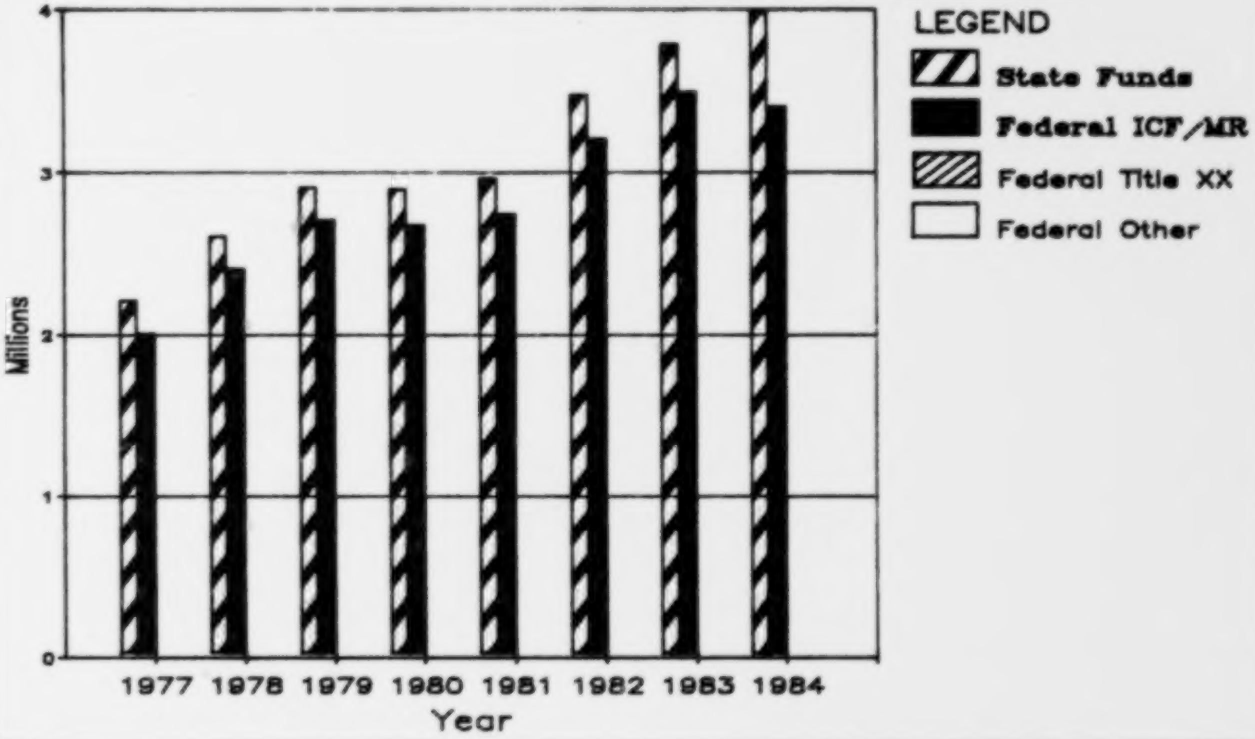
The Total State General Population FY 1977–1984



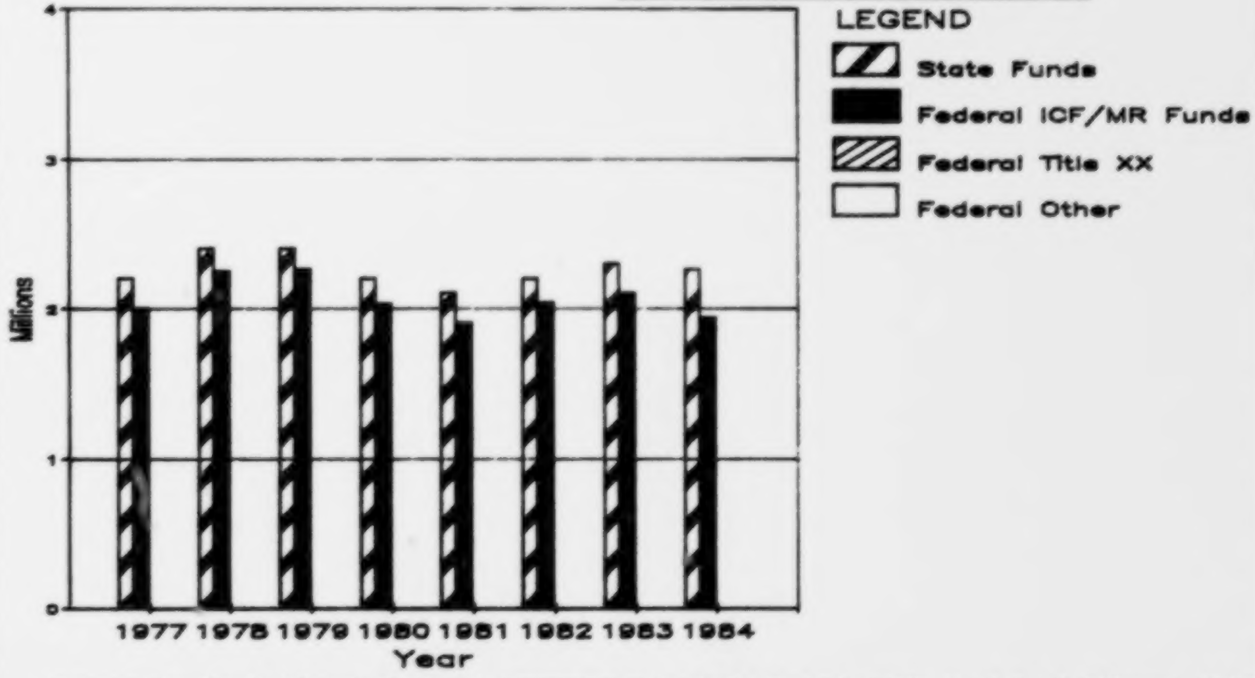
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

ALASKA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984 *In Unadjusted Dollars*



FY 1977–1984 *In 1977 Dollars*

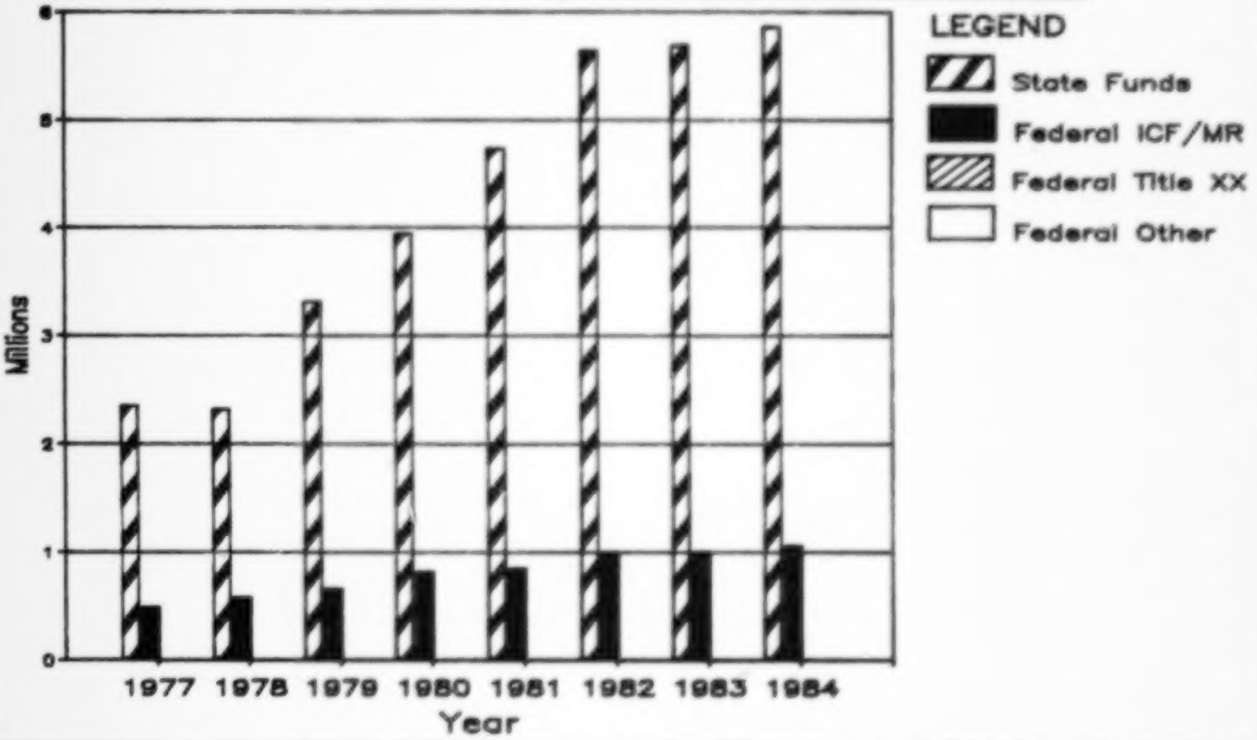


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

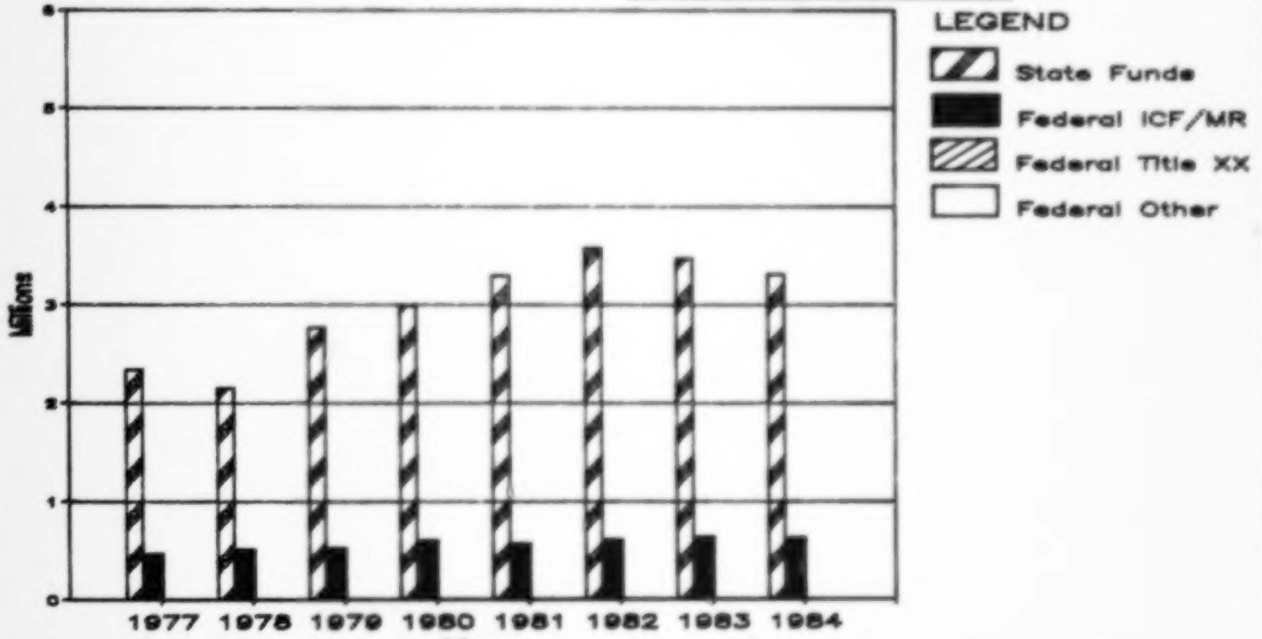
ALASKA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



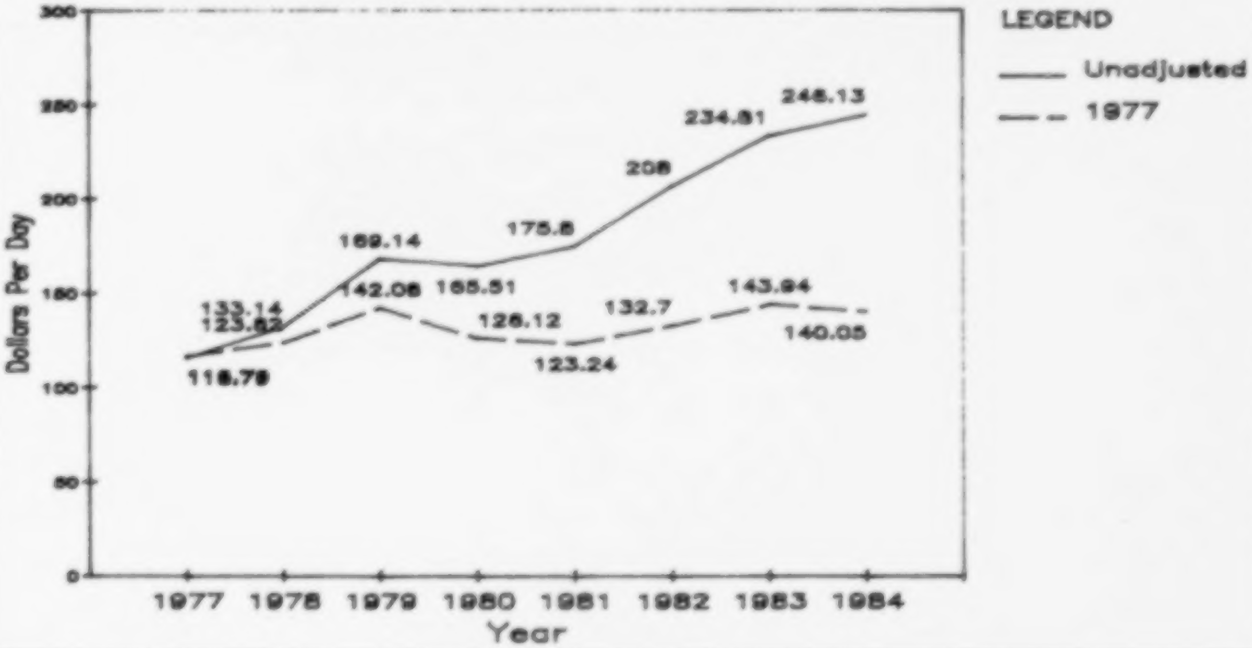
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

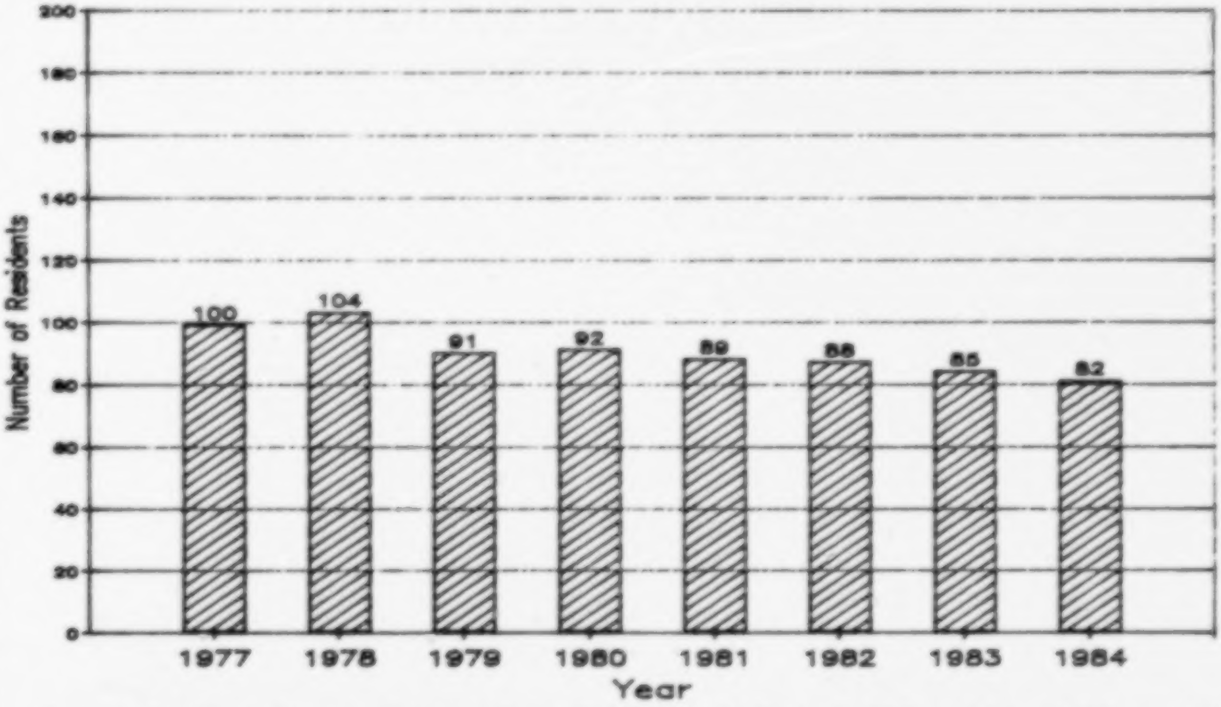
ALASKA

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ALASKA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for the mentally retarded and developmentally disabled citizens of Alaska are administered by the Developmental Disabilities Section, Division of Mental Health and Developmental Disabilities, Department of Health and Social Services.

2. Budget Format: The budget format utilized in the State's documents was:

DEPARTMENT OF HEALTH AND SOCIAL SERVICES

HEALTH CATEGORY

Public Health Program Area
Health Information, Planning and Research
Mental Health and Developmental Disabilities Program Area
    Alcohol and Drug Abuse
    Alaska Psychiatric Institute
    Forensic Treatment and Evaluation
    Community Mental Health Services
    Harborview Developmental Center (the State DD facility)
    Council for the Handicapped and Gifted
    Community Developmental Disabilities Services
    Mental Health Administration and Support
Administration and Support Program Area
Administration of Justice (Corrections)

The following fund sources were presented in the published budgets for the "Health Category" (and also for the "Social Services Category"):

Federal Funds
State General Funds
Inter-agency Receipts
Program Receipts
Federal Revenue Sharing

This fund source detail, however, was not provided for the developmental disabilities budget areas.

3. Note on Data Sources: Alaska Executive Operating Budget documents were reviewed for FY `79, `81, `82, `83, and `84. These documents provided "actual" expenditure figures for FY `77, `79, `80, `81, and `82; "adjusted" expenditures for FY `78 and `83; and "Governor's Operating Budget" for FY `84. Robert Gregovich, Ph.D., DD Program Administrator, DD Section, Division of MH/DD was contacted for clarification on developmental disabilities funding. Community and Institutional Services expenditure figure breakdowns were obtained in a 7/29/83 phone interview with Mr. Virgil Bugayong, Division Accountant. These figures were termed "actual" for FY `77-`82; "revised estimate" for FY `83; and "appropriated" for FY `84. Subsequent (2/1/84) correspondence with Ms. Vicky Hessee, Secretary to the Program Administrator for DD, reflected slight decreases in Institutional Services (2%) in FY `83 and slight increases in Community Services, for FY `83 and FY `84 (2% in FY `83 and 1 1/2% in FY `84); the FY `83 figures were classified in her correspondence as "actual" and the FY `84 figures she reported are "appropriated." Subsequent telephone interviews (Notes 5 and 8 below) provided additional information on Title XIX revenues.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the figures reported for Harborview Developmental Center in the 7/29/83 telephone interview with the Division Accountant, and in subsequent 2/1/84 correspondence from the DD Program Administrator's Office.

   The Harborview Center's "average daily populations" for the fiscal years of this analysis are:

   FY '77 - 100
   FY '78 - 104
   FY '79 - 91
   FY '80 - 92
   FY '81 - 89
   FY '82 - 88
   FY '83 - 85
   FY '84 - 82

   (Source: Ms. Mary Lou Vanderburg, Administrative Assistant, Harborview Developmental Center, telephone interview, 5/8/84.)

5. Title XIX. In a 5/7/84 telephone interview, Gary Schaeffer, Administrative Officer, Division of MH/DD, estimated that 96% of the Harborview expenditures each year are reimbursable by the Title XIX ICF/MR Program. Our analysis has utilized his estimate, and has applied the Federal/State match rates to determine the portion of Federal Title XIX reimbursement for Harborview each year of the analysis.

COMMUNITY SERVICES

6. Community Services consists of the Community Services figures reported 7/29/83 by Bugayong.

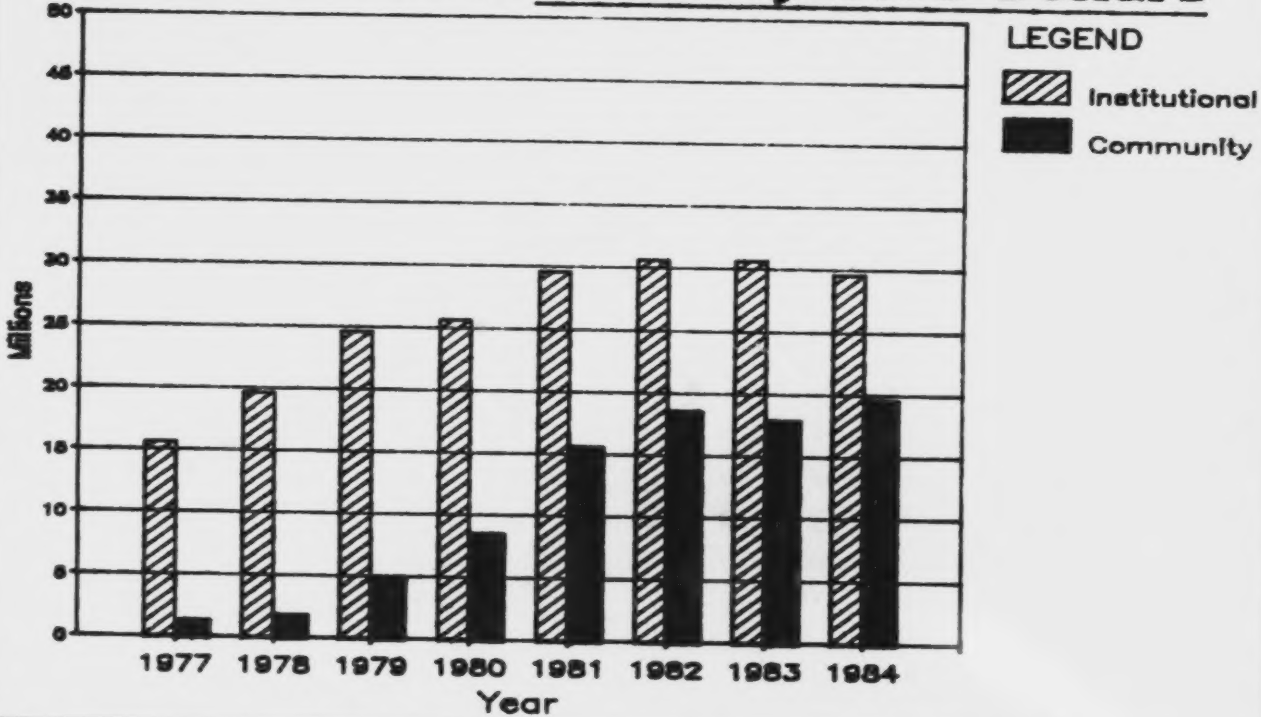
7. Other Federal Funds. Although the budget books indicated a "Council for the Handicapped and Gifted" (at between $200,000 and $300,000 annually), Dr. Gregovich indicated that these DD Act funds are administered independent of the DMH. Therefore they are not included in this analysis.

8. Private ICF/MR. Expenditure figures were obtained in a telephone interview with Mr. Randy Moore, Division of Public Assistance. FY '79-'84 expenditures were provided. FY '77 and '78 data were extrapolated, based on the average of the FY '79-'84 annual increments. The expenditures represent services at three ten-bed ICF/MR cottages (Hope Cottages). The FY '84 figure is "projected."

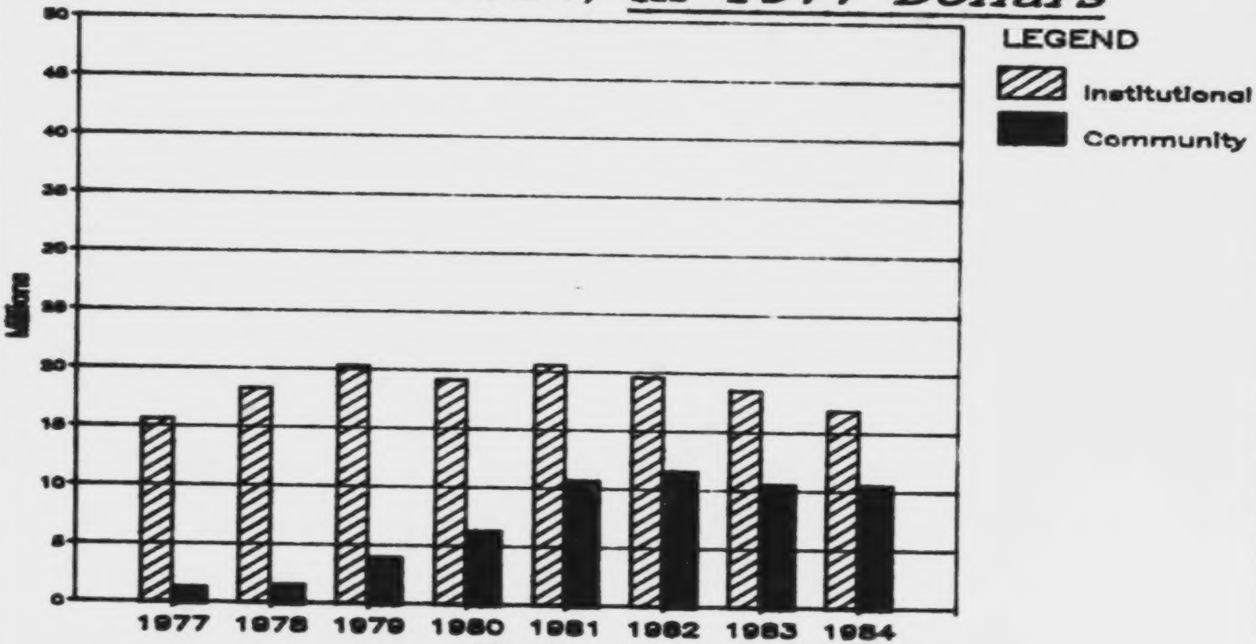
ARIZONA
STATE PROFILE

ARIZONA

Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

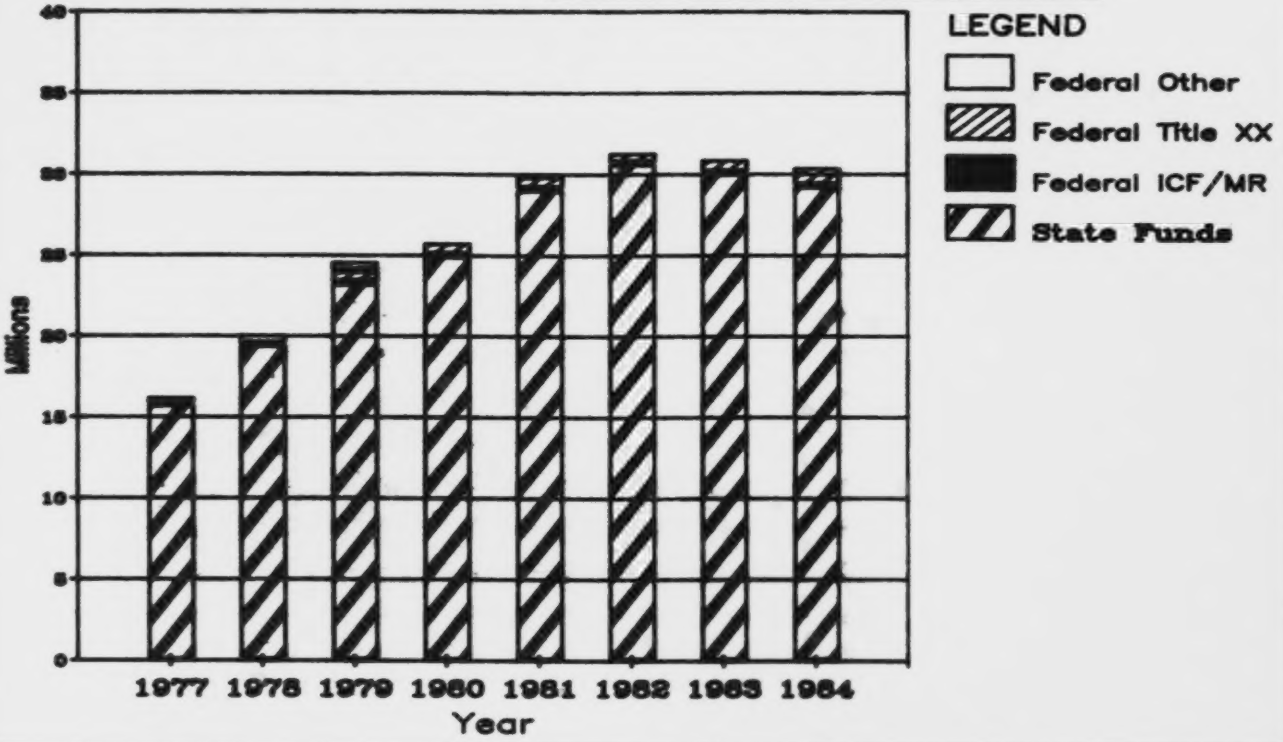


*Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

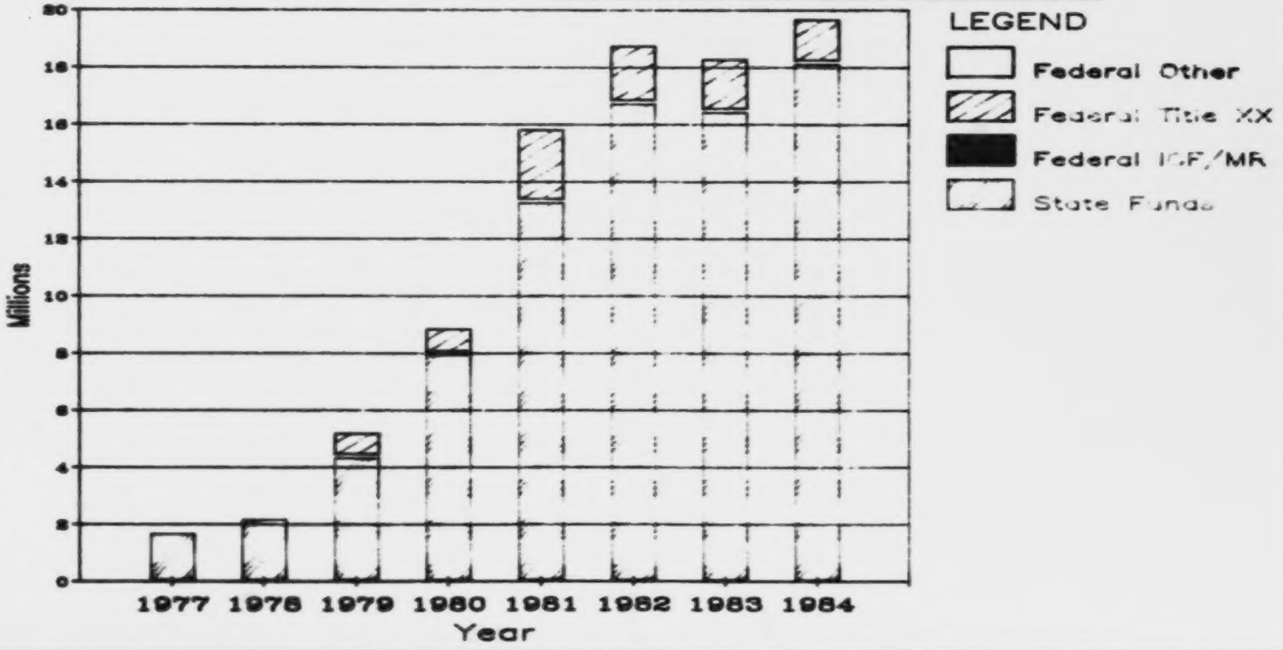
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA

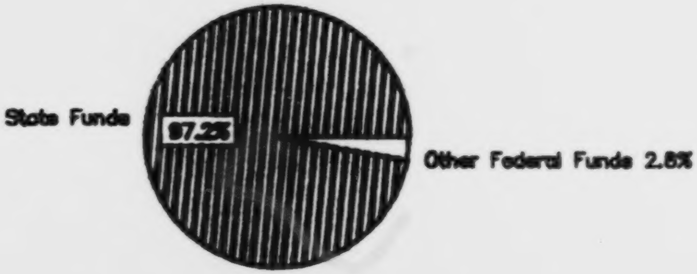
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984 *In Unadjusted Dollars*



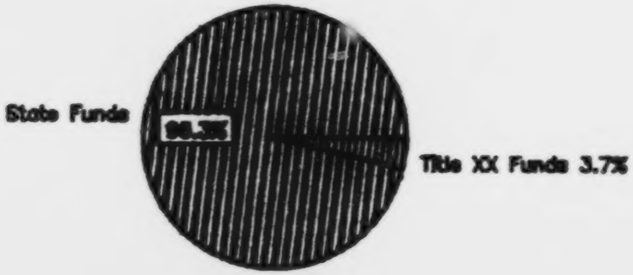
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984 *In Unadjusted Dollars*



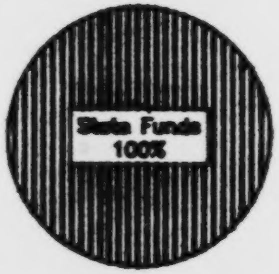
ARIZONA
MR/DD Expenditures for *Institutional* and *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



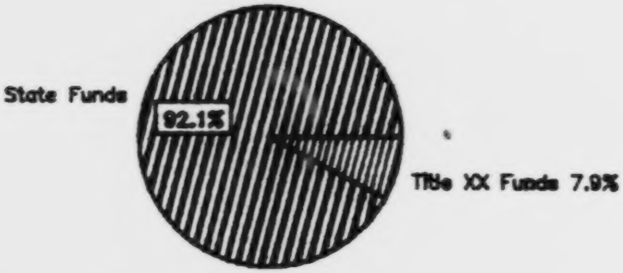
Institutional: 1977 Total Funds—$16.3 Million



Institutional: 1984 Total Funds—$30.4 Million



Community: 1977 Total Funds—$1.7 Million

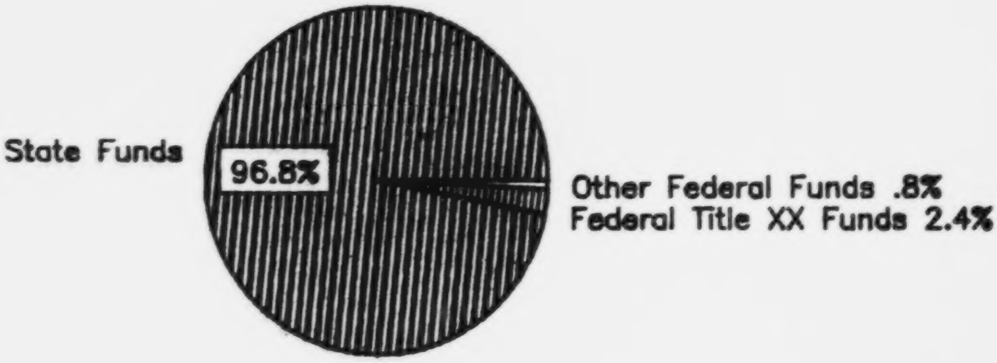


Community: 1984 Total Funds—$19.7 Million

* Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

ARIZONA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

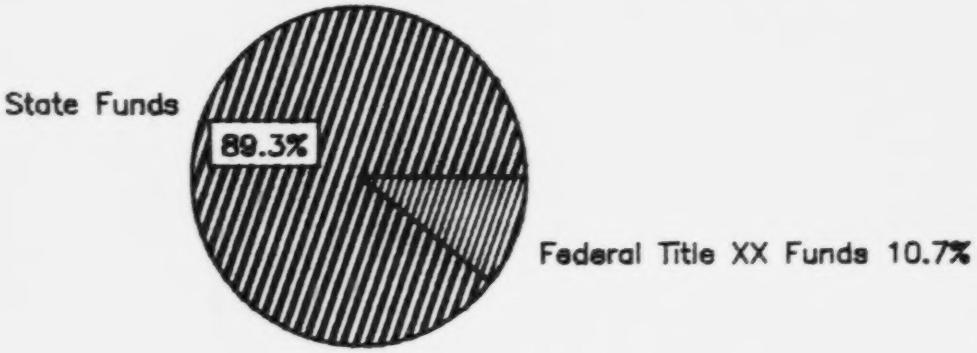
Institutional Services Funds



Total Institutional Dollars: $209 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



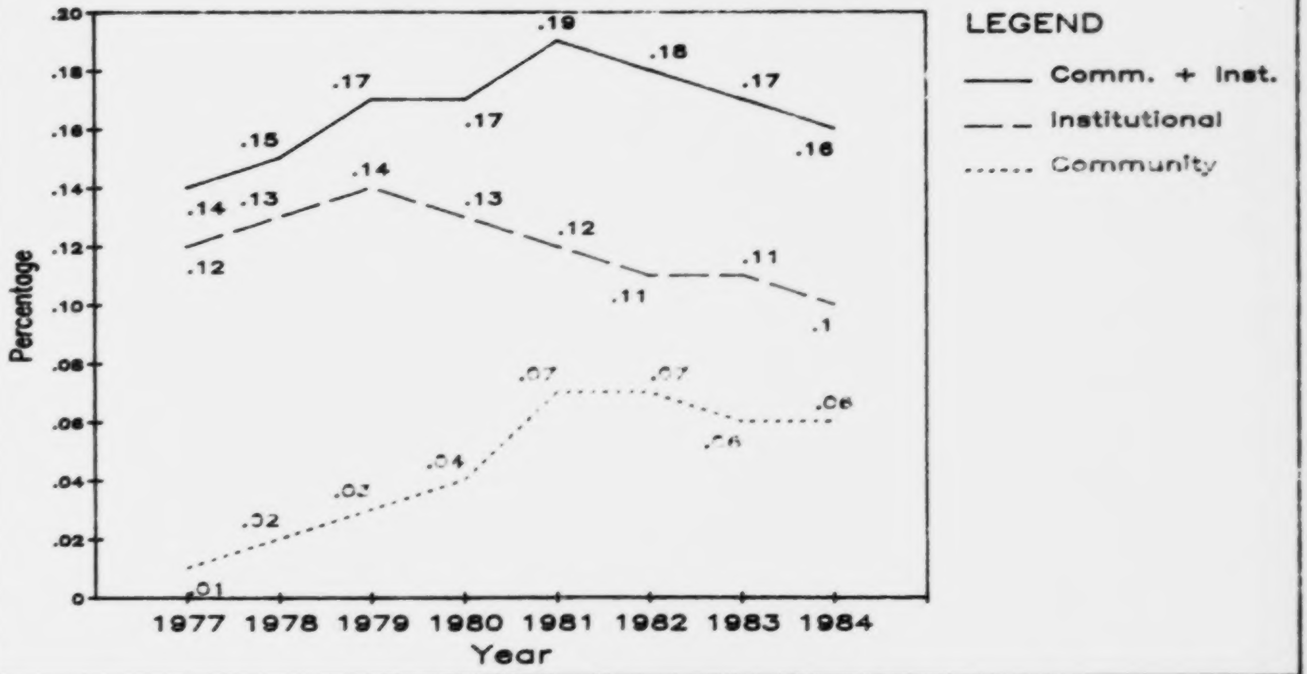
Total Community Dollars: $90.9 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA

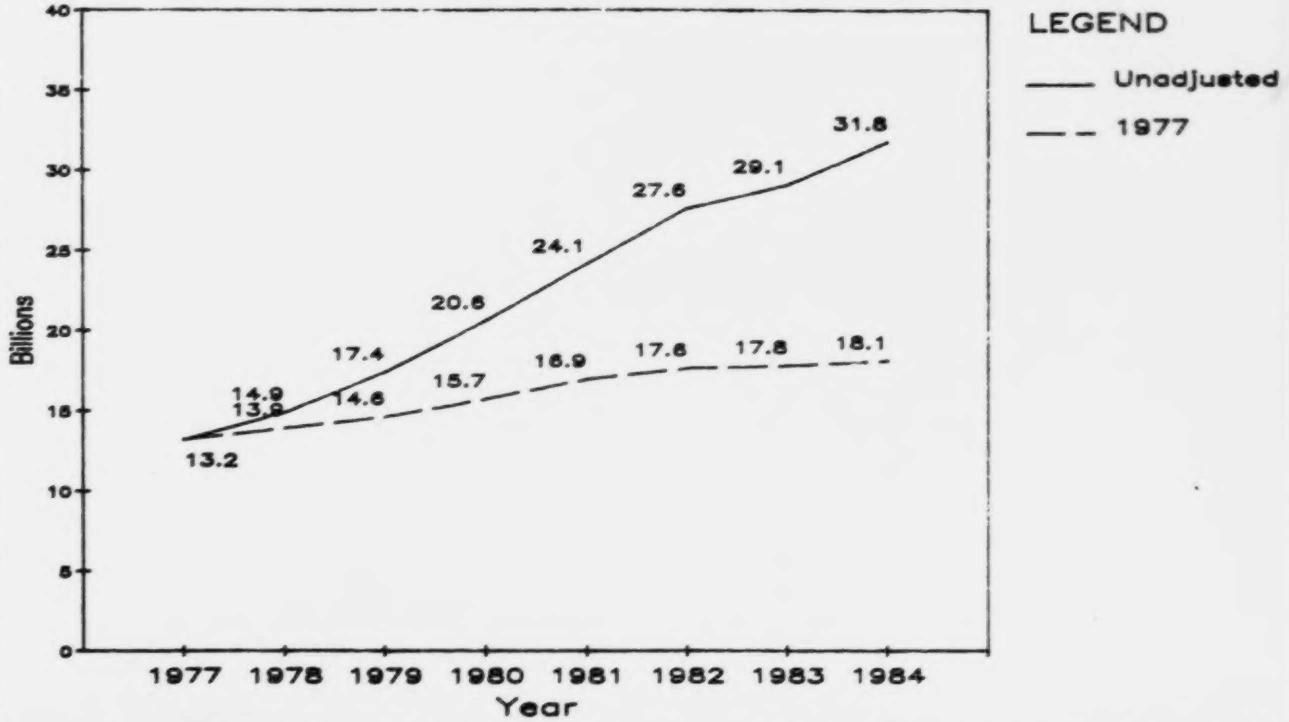
MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* and *1977* Dollars:

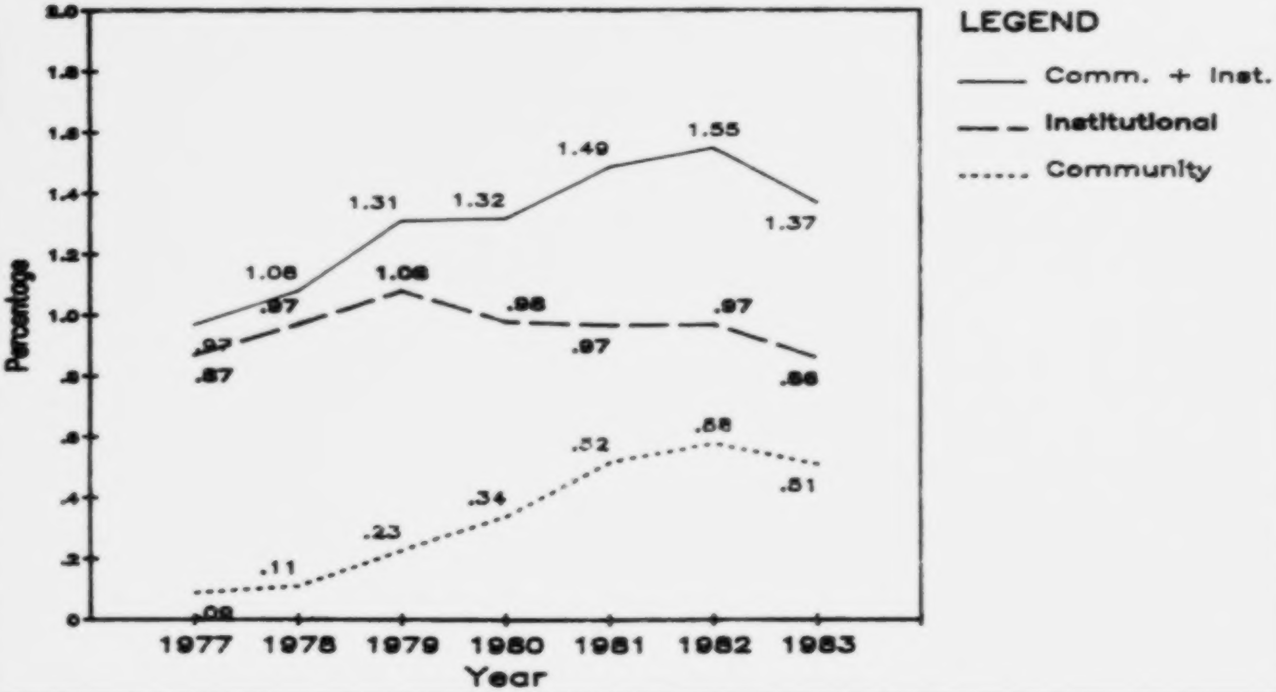
FY 1977–1984



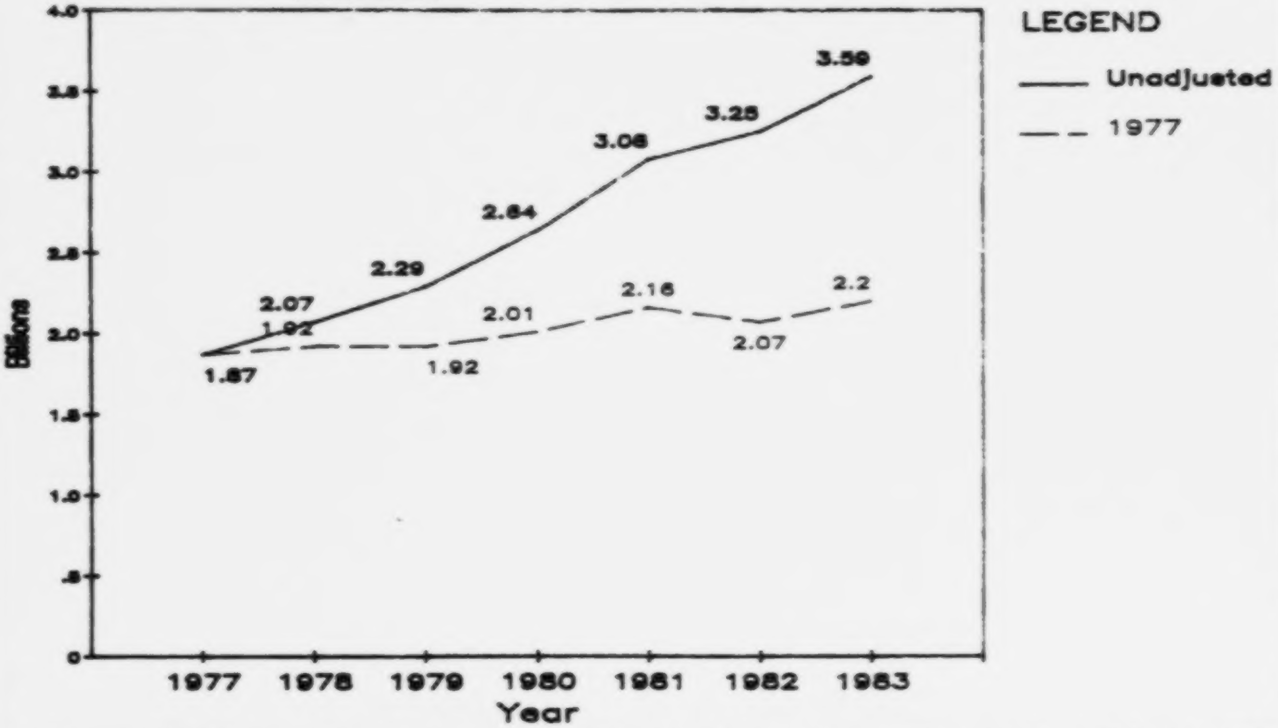
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977—1983

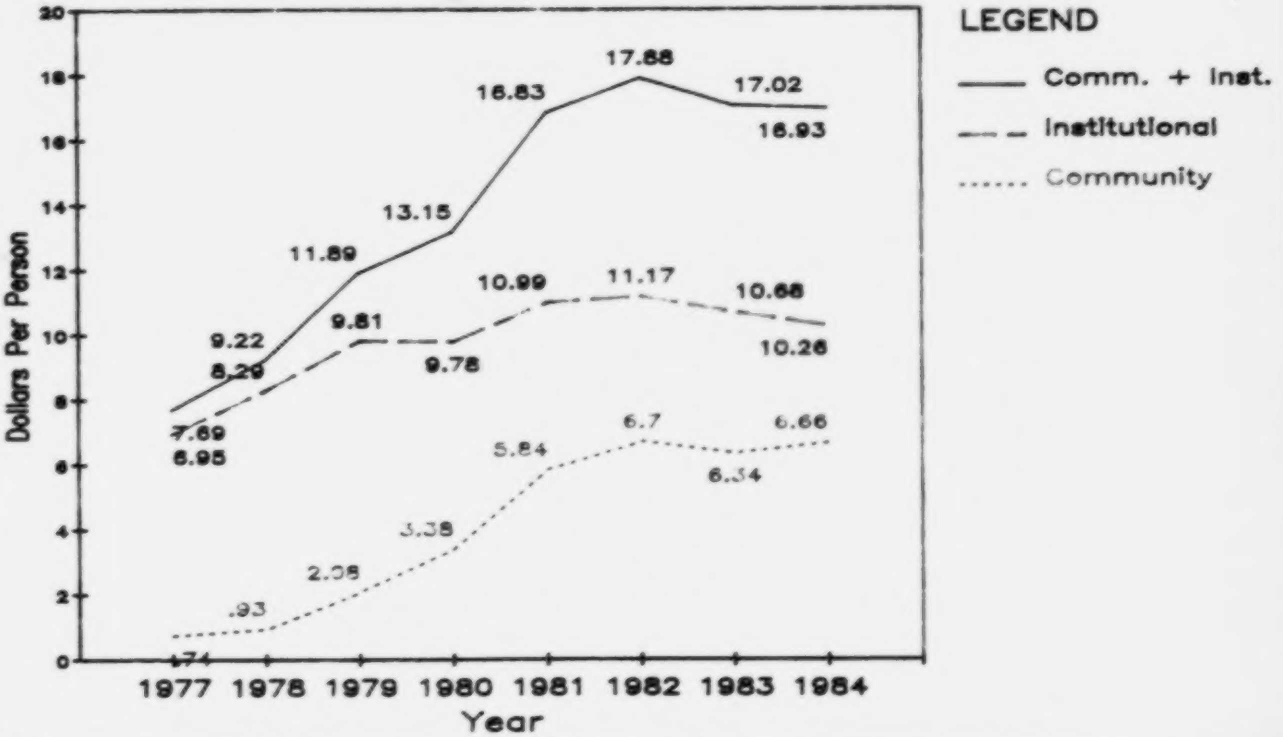


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977—1983

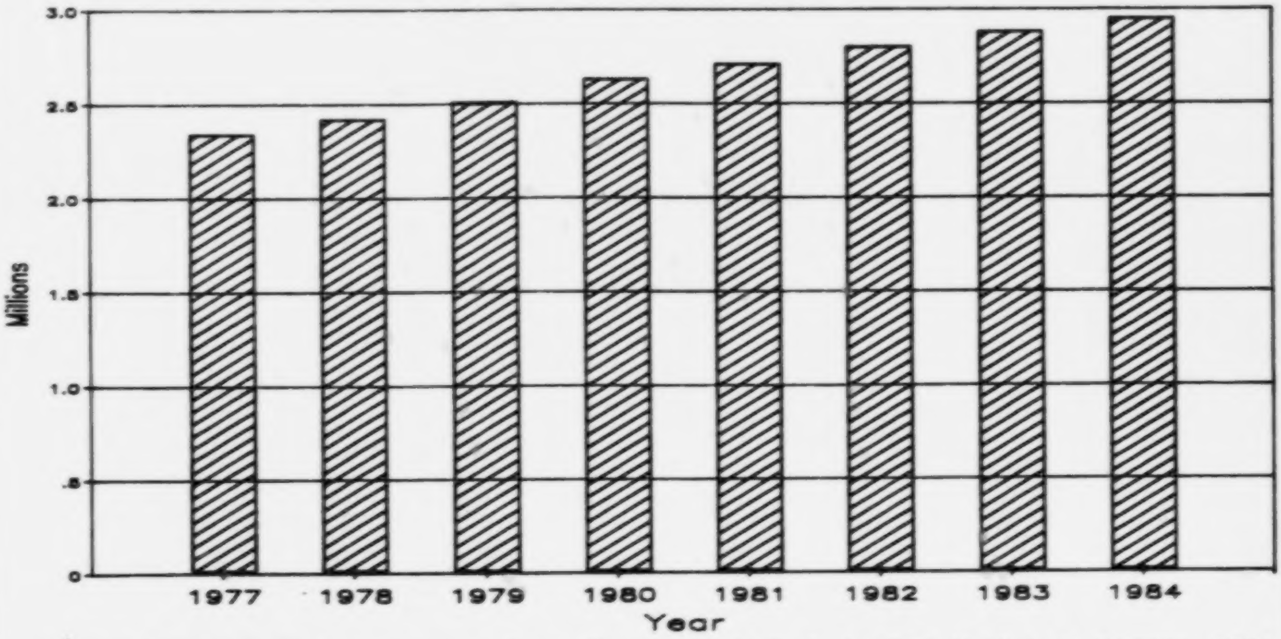


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

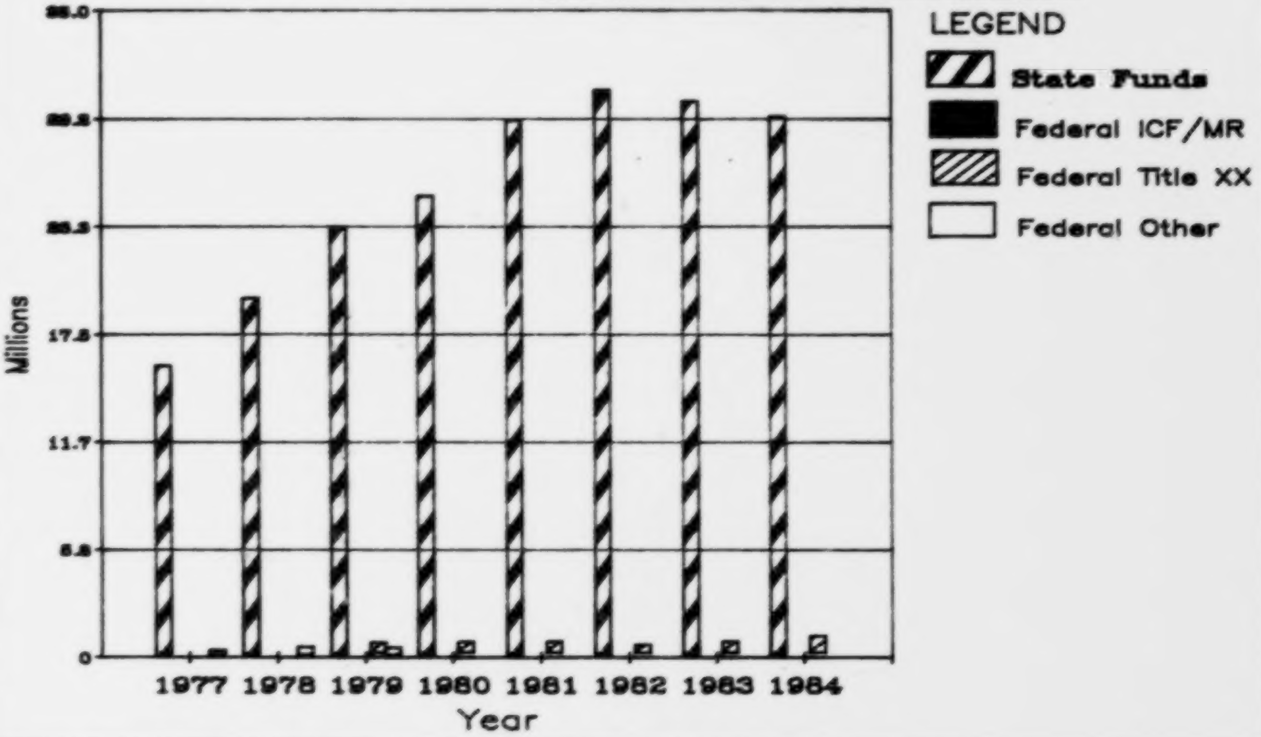


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

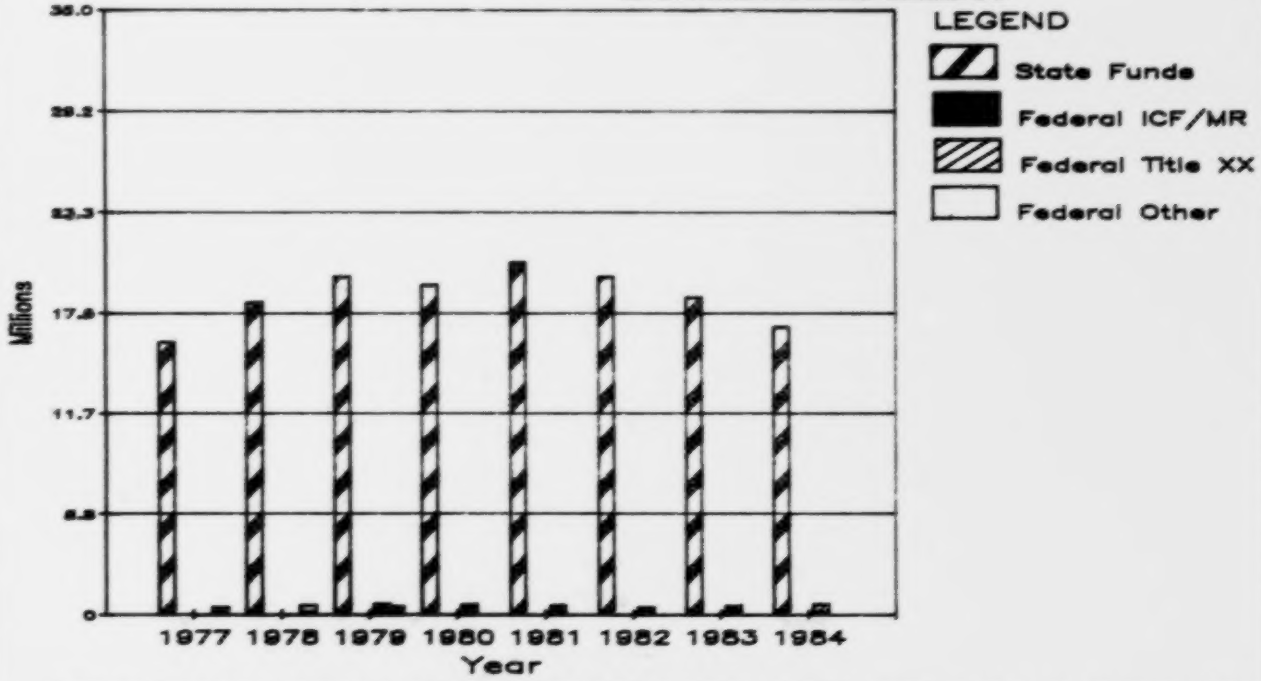
ARIZONA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984 *In Unadjusted Dollars*



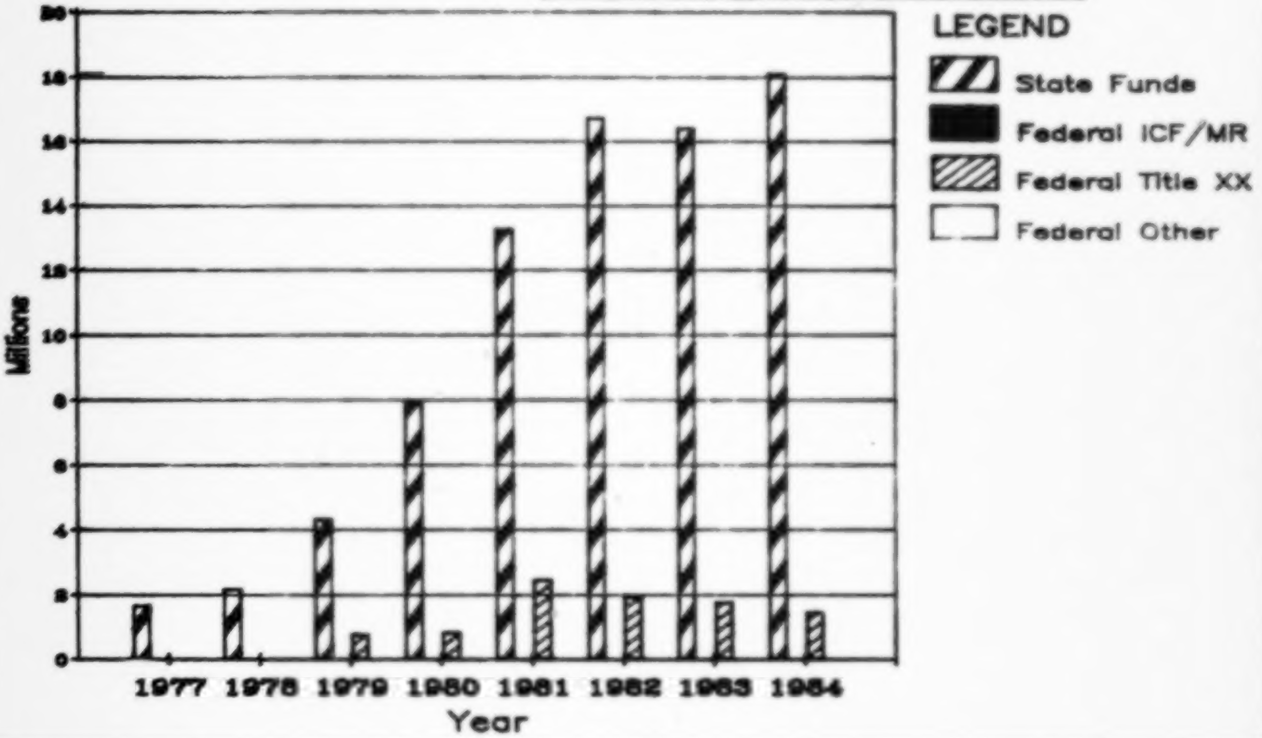
FY 1977–1984 *In 1977 Dollars*



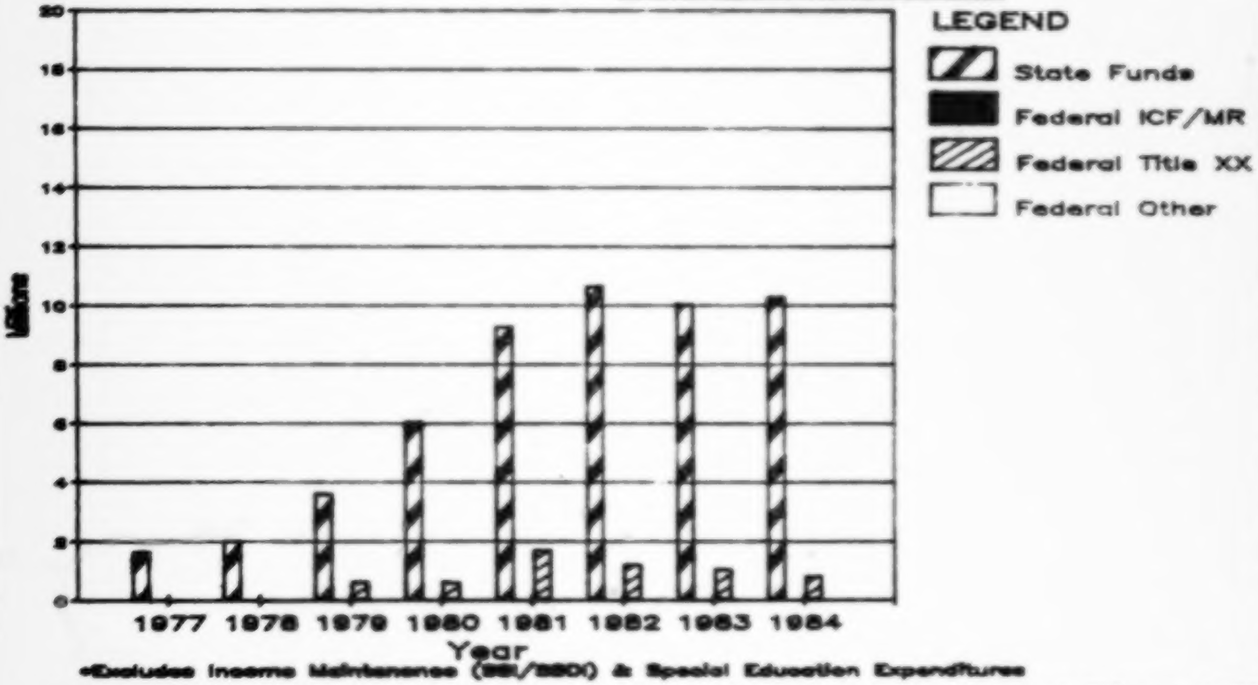
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984 *In Unadjusted Dollars*



FY 1977–1984 *In 1977 Dollars*



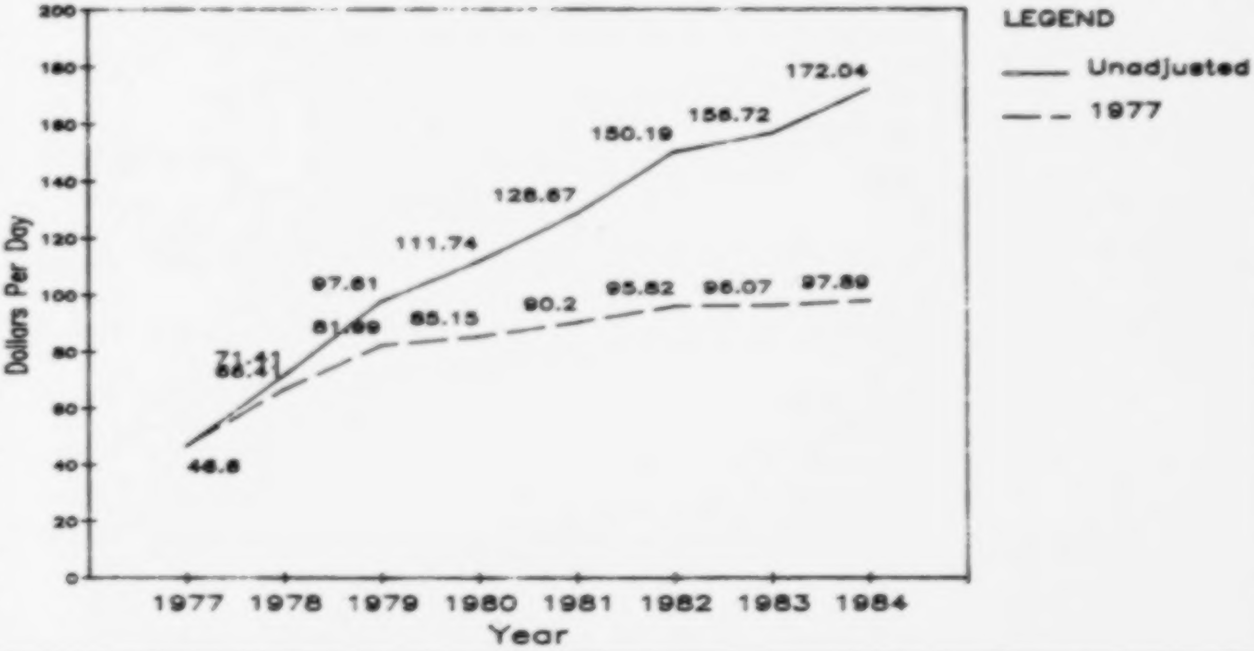
*Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

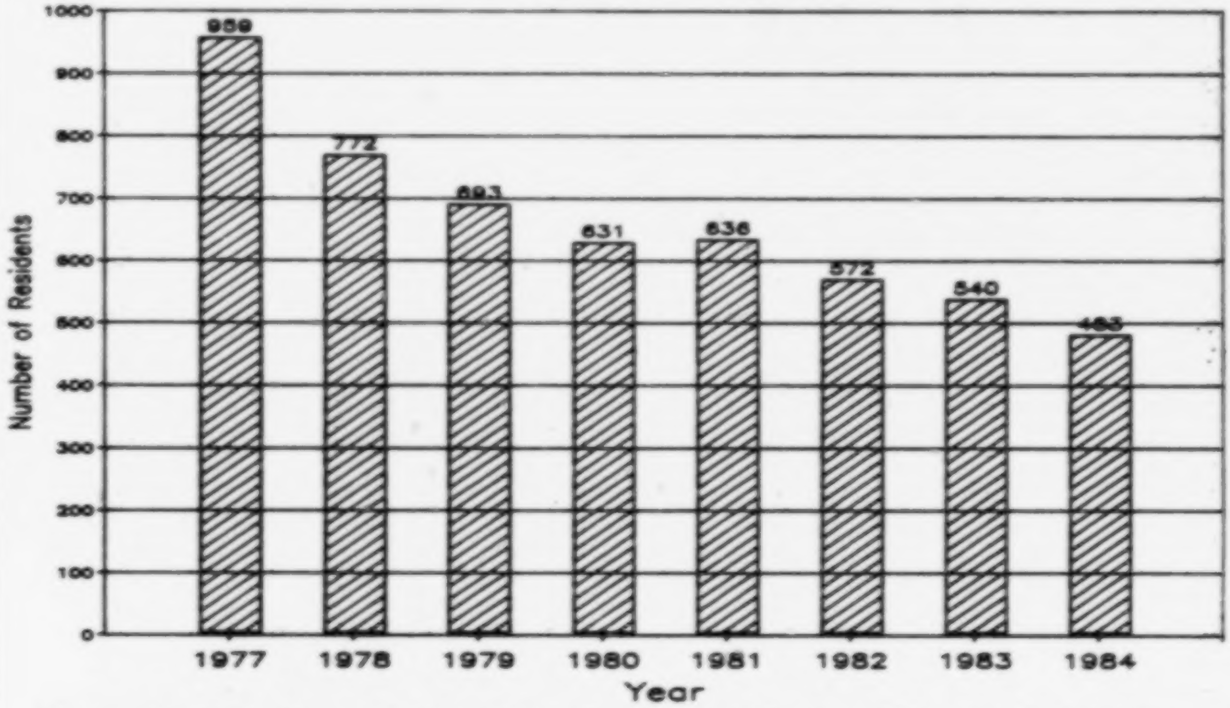
ARIZONA

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARIZONA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Division of Developmental Disabilities and Mental Retardation (Division of DD/MR) is within the Department of Economic Security. There are three state institutions; state-operated group homes; and "purchase of care" community services which have been included in this analysis.

2. Budget Format: The format for presentation of DD/MR figures in the State's budget documents (see Note 3 for additional information on data sources) was:

Department of Economic Security
Division of DD/MR
General Funds
Operating Expenses and Personnel Costs
Purchase of Care
Other
Federal Funds
Title XX Group Homes
Title XX Staffing
Institutional Programs
Other

3. Note on Data Sources: State of Arizona Executive Budget documents for budget years FY '79, '80, '81, '82, '83 and '84 (the FY '83 and FY '84 documents were on microfiche) were reviewed. Federal Programs documents for FY '79 and FY '81 were also reviewed. The Executive Budgets provided "actual" expenditure figures for FY '77 - FY '82; "budgeted" expenditures for FY '83; and a "recommended" expenditure for FY '84. A series of telephone interviews and correspondence commencing 9/9/83 with Division of DD/MR staff (Ms. Joanie Seaver, Program and Project Specialist; Mr. Bruce Liggett, Program Administrator) provided clarification on funding source breakdowns. In the information provided, figures for FY '81 - FY '84 were categorized "budgeted" (they were from Division of DD/MR budget documents).

INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditures for the Coolidge, Phoenix and Tucson Training Programs. The FY '77 - FY '80 total expenditures and fund sources were obtained from the Executive Budgets and Federal Program documents; the FY '81 - FY '84 figures were provided by Ms. Seaver in 12/7/83 correspondence.

Population figures, aggregated for the three training programs for the fiscal years of the analysis, are:

FY '77 - 959
FY '78 - 772
FY '79 - 693
FY '80 - 631
FY '81 - 636
FY '82 - 572
FY '83 - 540
FY '84 - 483

(Source: Seaver, 6/11/84 telephone interview.)

5. Other State Funds consists of revenue from "institutional client billing." These figures were provided in the 12/7/83 correspondence.

6. Title XIX. None. Arizona does not have a Medicaid program.

7. Title XX Arizona Division of DD/MR officials indicated (telephone interviews, Seaver, 9/27/83; Liggett, 11/9/83) that the Department of Economic Security is Arizona's designated agency for Title XX (Social Services Block Grant) funds. These Federal funds were utilized in various programs within the DD/MR Division, including the outreach program at state institutions. The FY '81-'84 figures are from the 12/7/83 correspondence; the FY '79-'80 figures were obtained from the FY '80/'81 Federal Programs Book.

8. Other Federal Funds. The expenditure figures reported here were obtained from the published Arizona Federal Programs budget documents for FY '78/79, and consist primarily of Foster Grandparent and Deaf-Blind Program funds.

III. COMMUNITY SERVICES

9. Community Services consists of expenditures for "purchase of service" with revenues from "Local Plan Title XX"; "Mesa Land Income"; and "Community Client Billing." In FY '84 the DD/MR Division operated 12 group homes, and these expenditures are included in this analysis.

10. State General Fund figures for FY '77-'80 were obtained from the Arizona Executive Budget documents. The FY '81-'84 General Fund expenditures were provided by Seaver in the 12/7/83 correspondence, and are a combination of Purchase of Care and State-operated Group Home expenditures.

11. Other State Funds consist of revenues from Purchase of Care Client Billing, Group Homes Client Billing, and Mesa Land Income as provided in the 12/7/83 correspondence.

12. Title XX for FY '79 and '80 consists of Title XX Group Homes figures obtained from the FY '80/'81 Federal Program Book; the FY '81-'84 figures are a combination of Title XX Local Plan and Title XX Group Homes expenditures and were provided in the 12/7/83 correspondence. In FY '79 and '80, the Community Title XX funds were exclusively reimbursing Group Homes; however, "Title XX Local Plan" as a percentage of total Community Services Title XX then increased from 70% (in FY '81) to 100% (in FY '84).

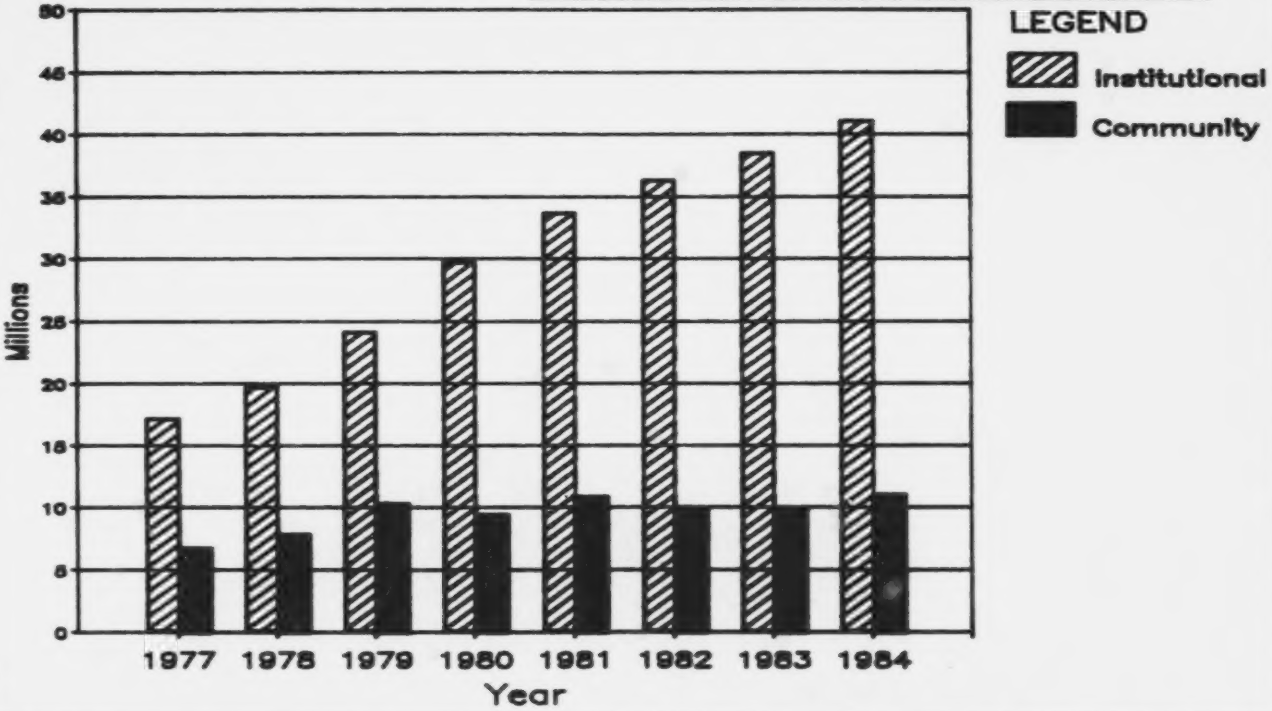
13. Other Federal Funds. Although expenditure figures for "developmental disabilities" and "Federal DD" were reported in the FY '78/79 and the FY '79/80 Executive Budget books, they are not funds administered by the Division, and therefore have not been included in the current analysis.

14. Private ICF/MR. Since Arizona has no Medicaid program, there are no private Intermediate Care Facilities for the Mentally Retarded.

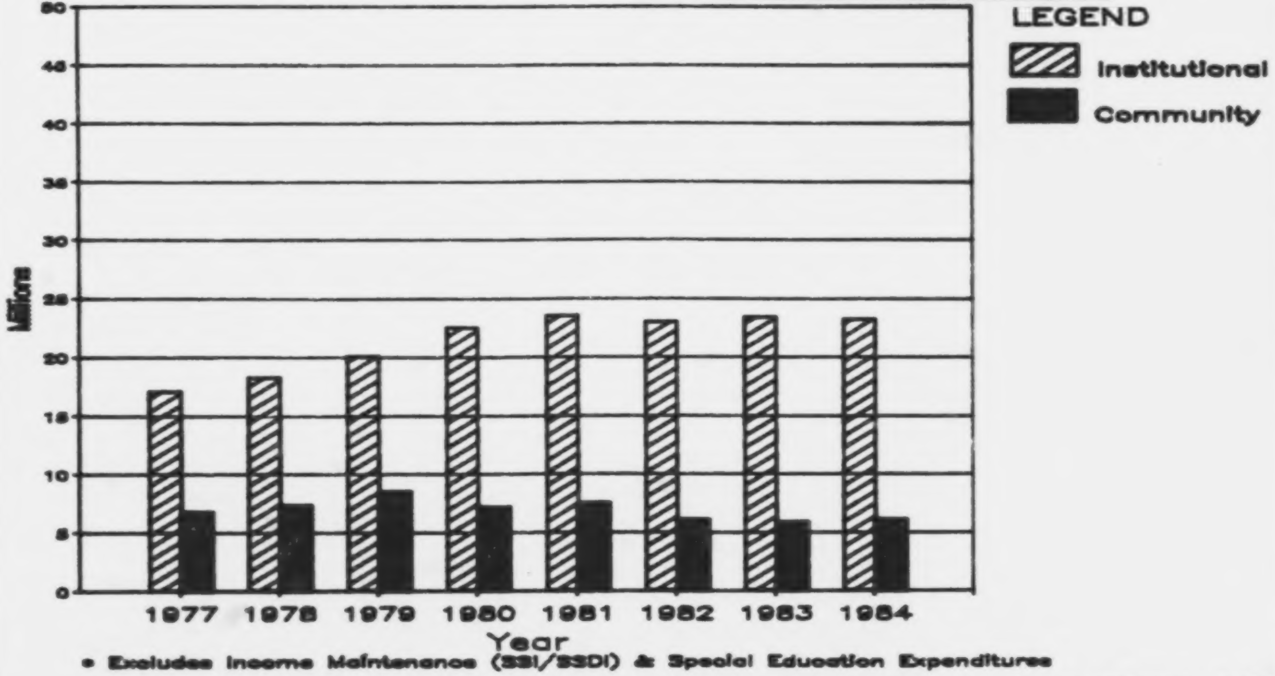
ARKANSAS

STATE PROFILE

ARKANSAS
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

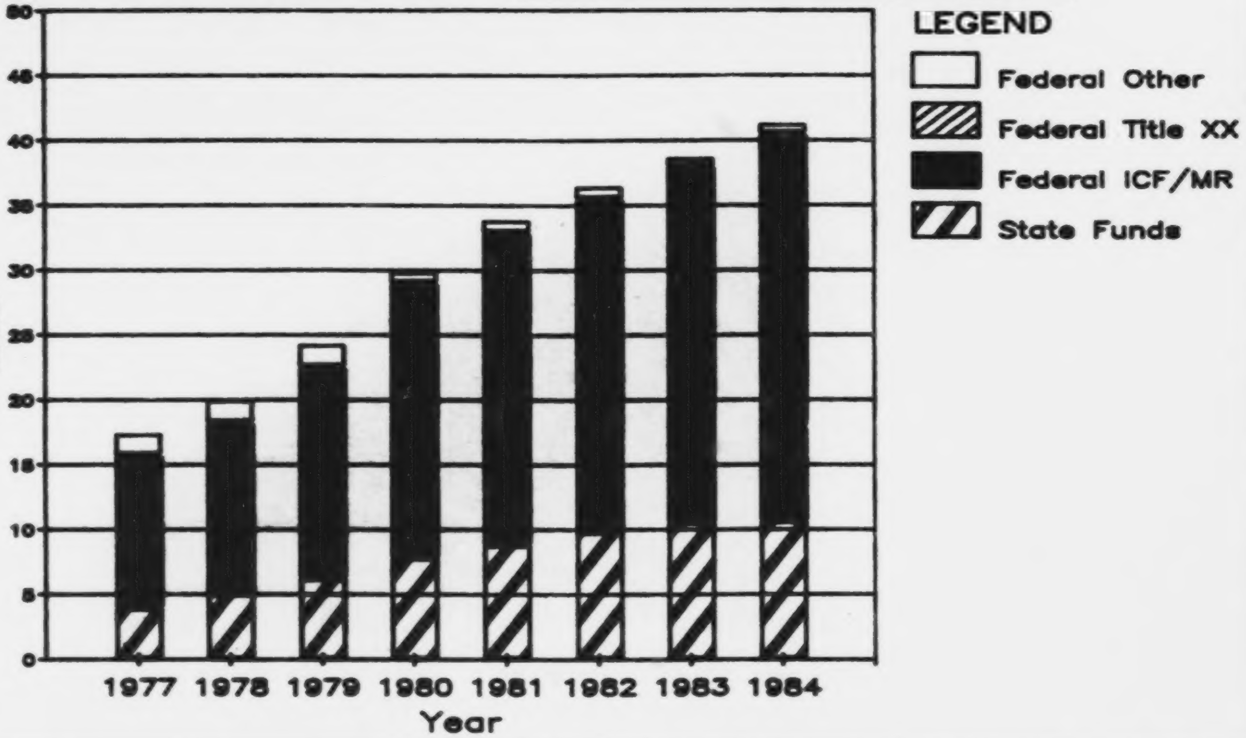


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

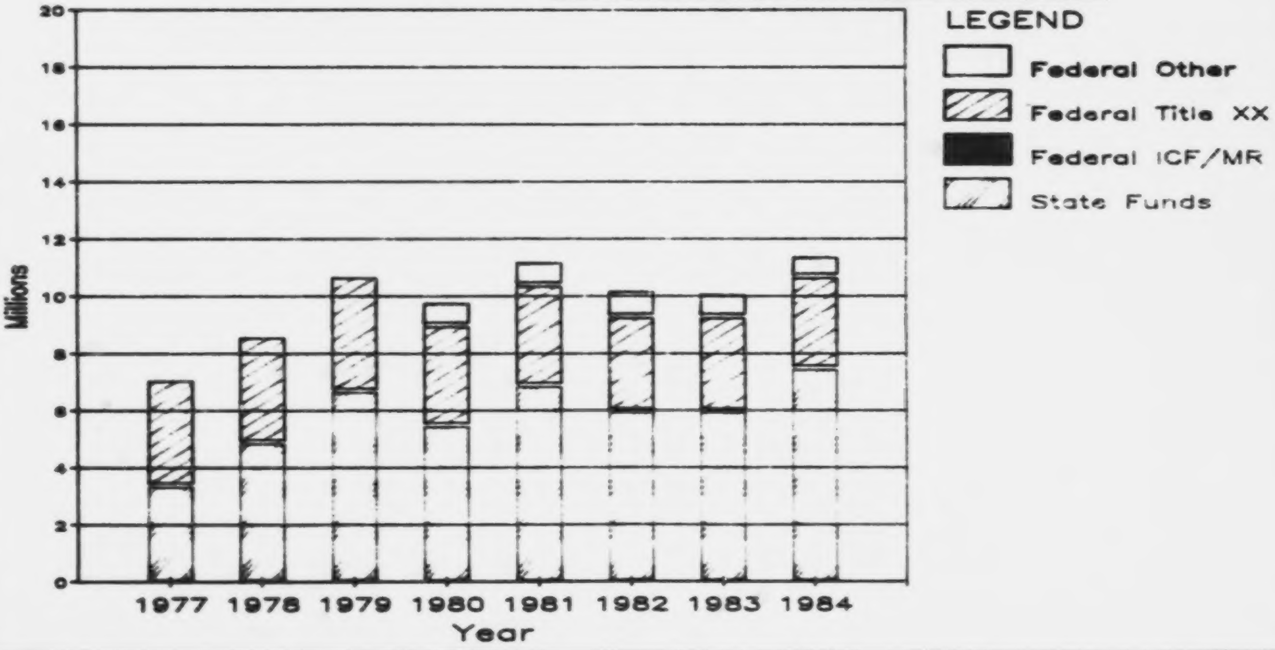
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS

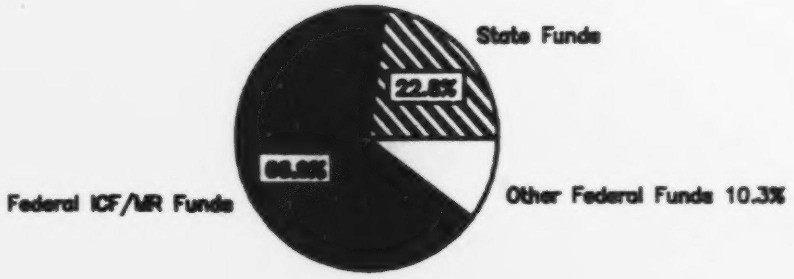
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



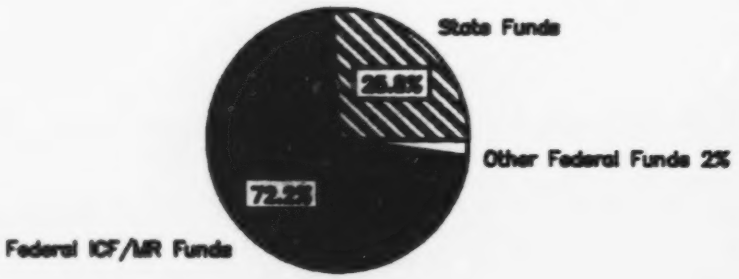
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



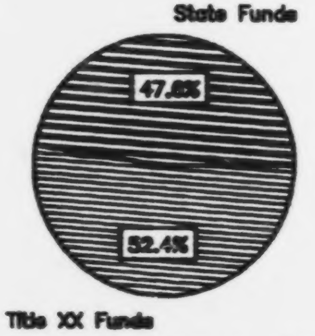
ARKANSAS
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



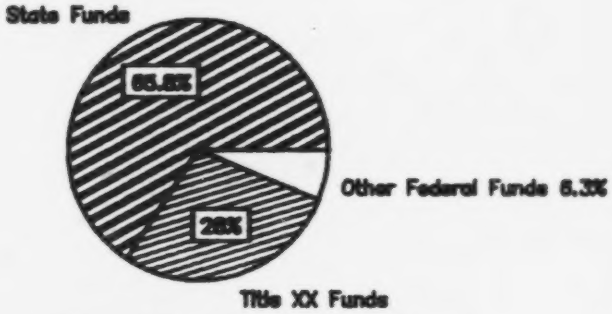
Institutional: 1977 Total Funds—$17.4 Million



Institutional: 1984 Total Funds—$41.3 Million



Community: 1977 Total Funds—$7.2 Million

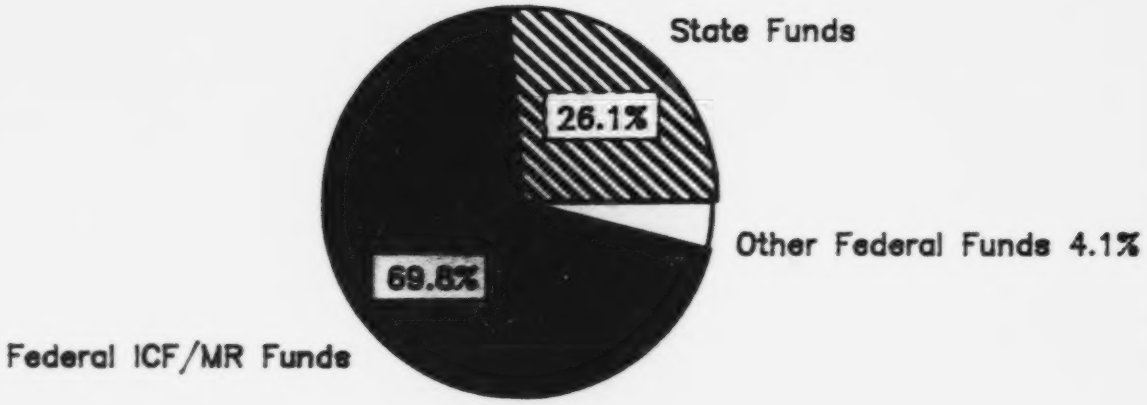


Community: 1984 Total Funds—$11.4 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

ARKANSAS
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

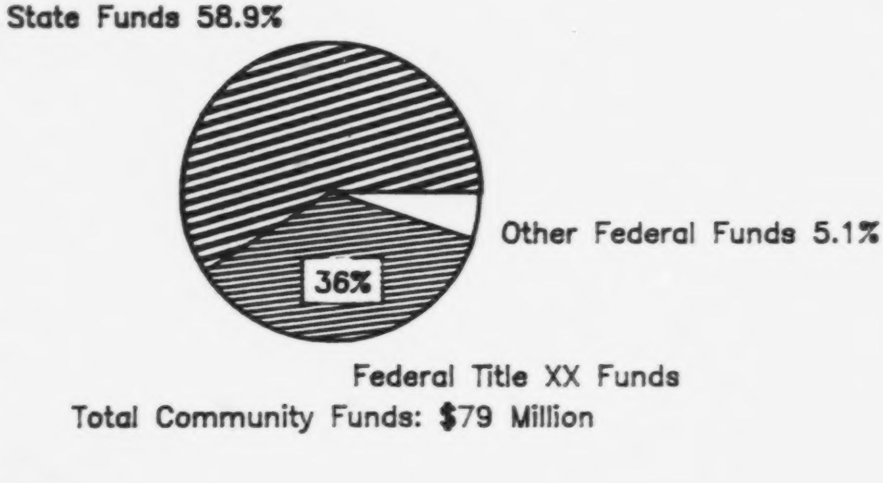
Institutional Services Funds



Total Institutional Funds: $242 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

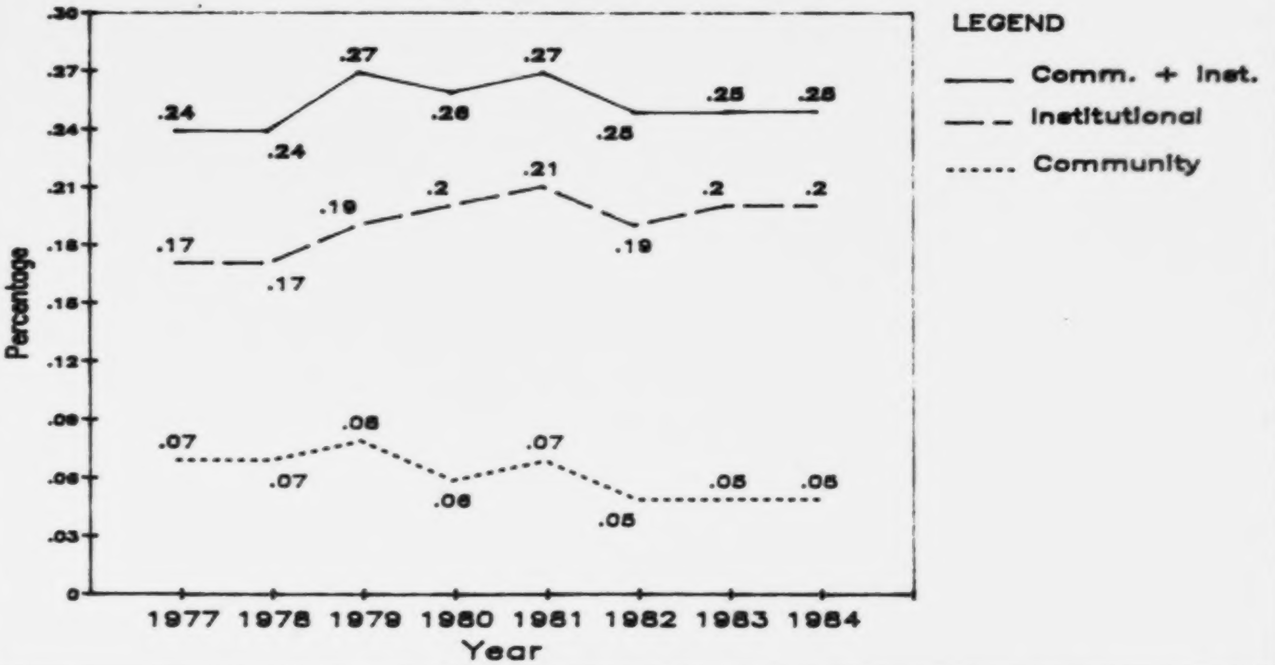


Total Community Funds: $79 Million

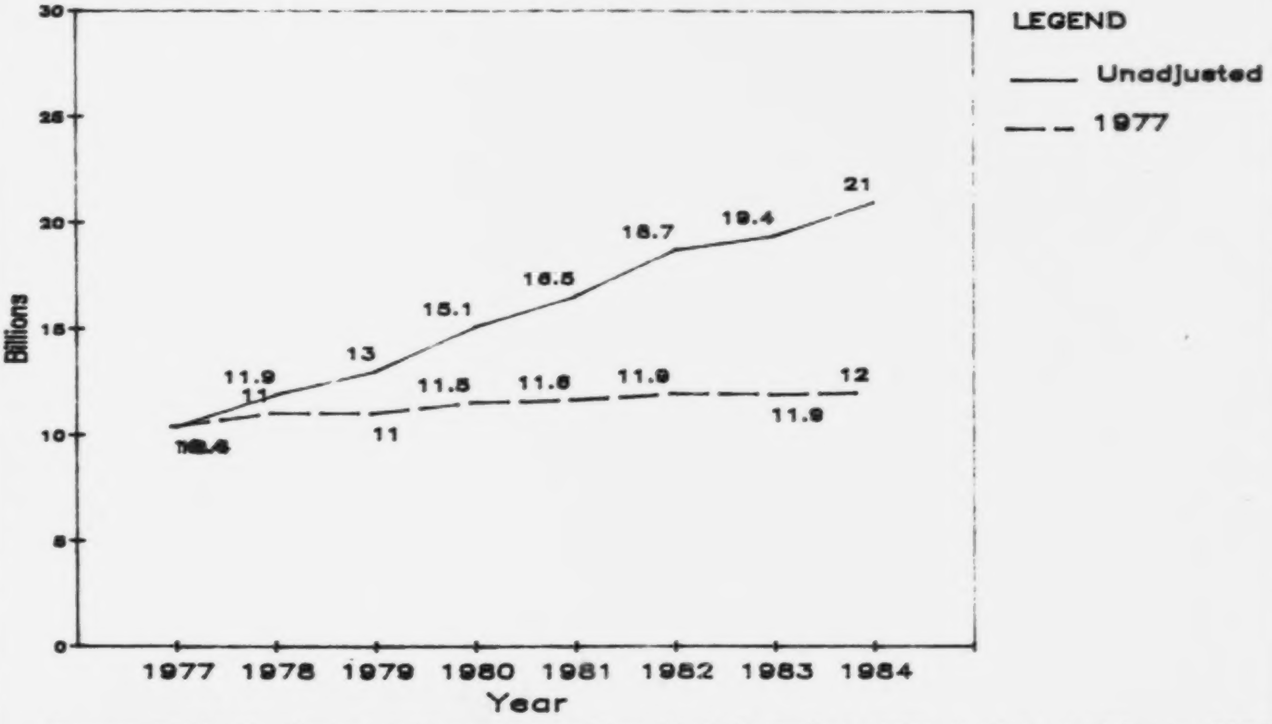
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



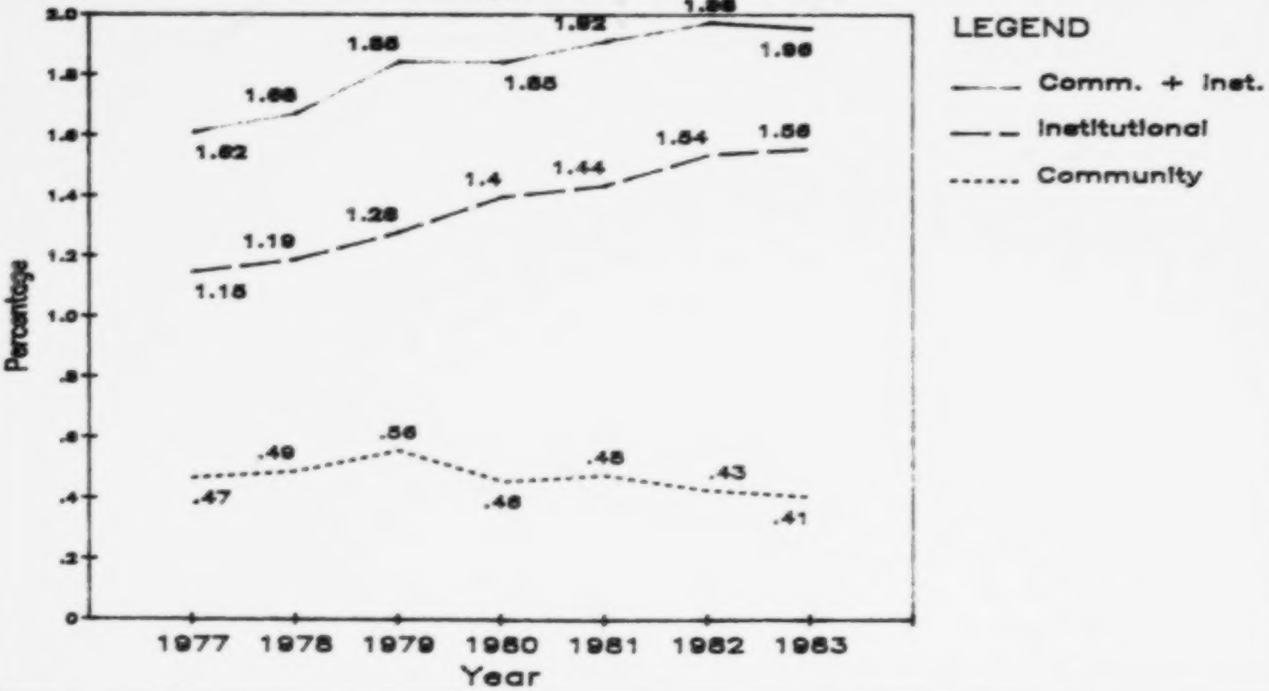
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



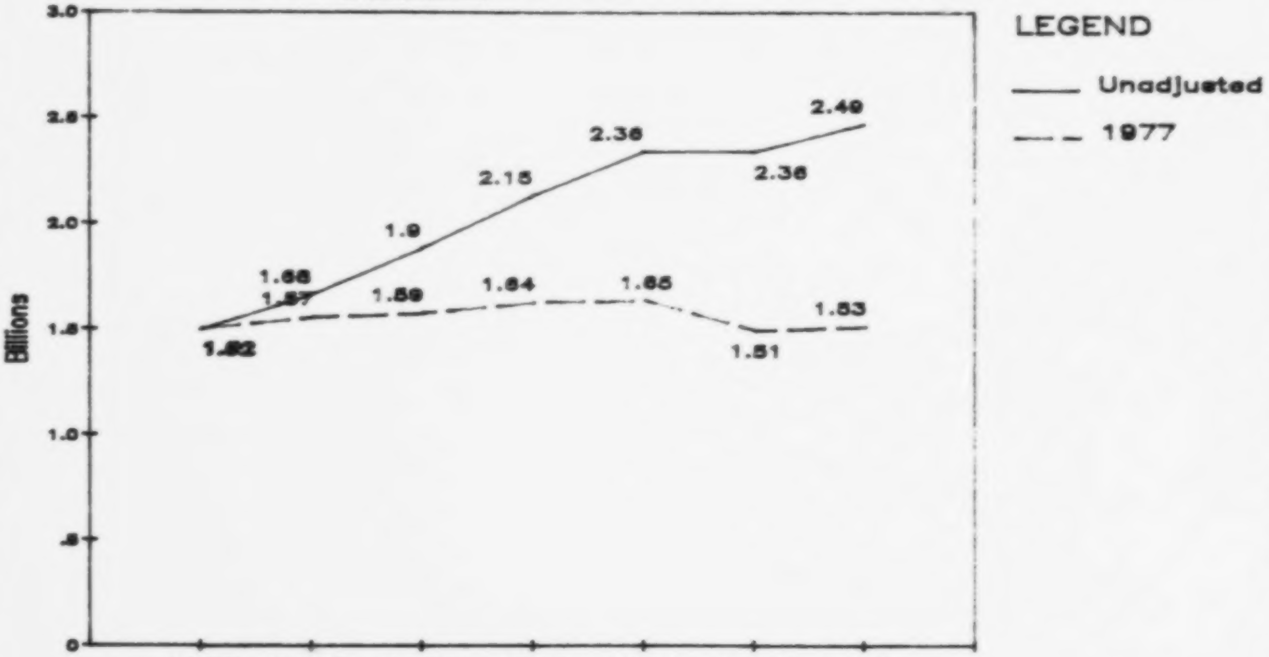
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977—1983



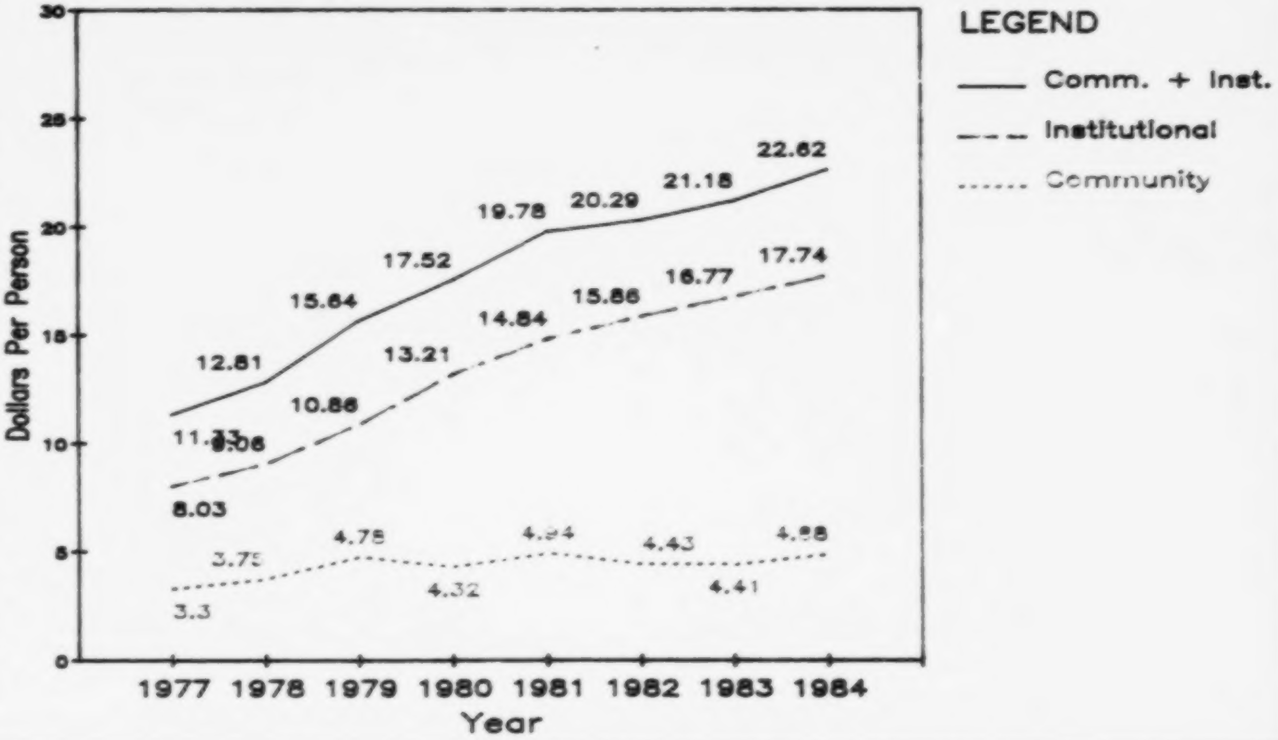
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977—1983



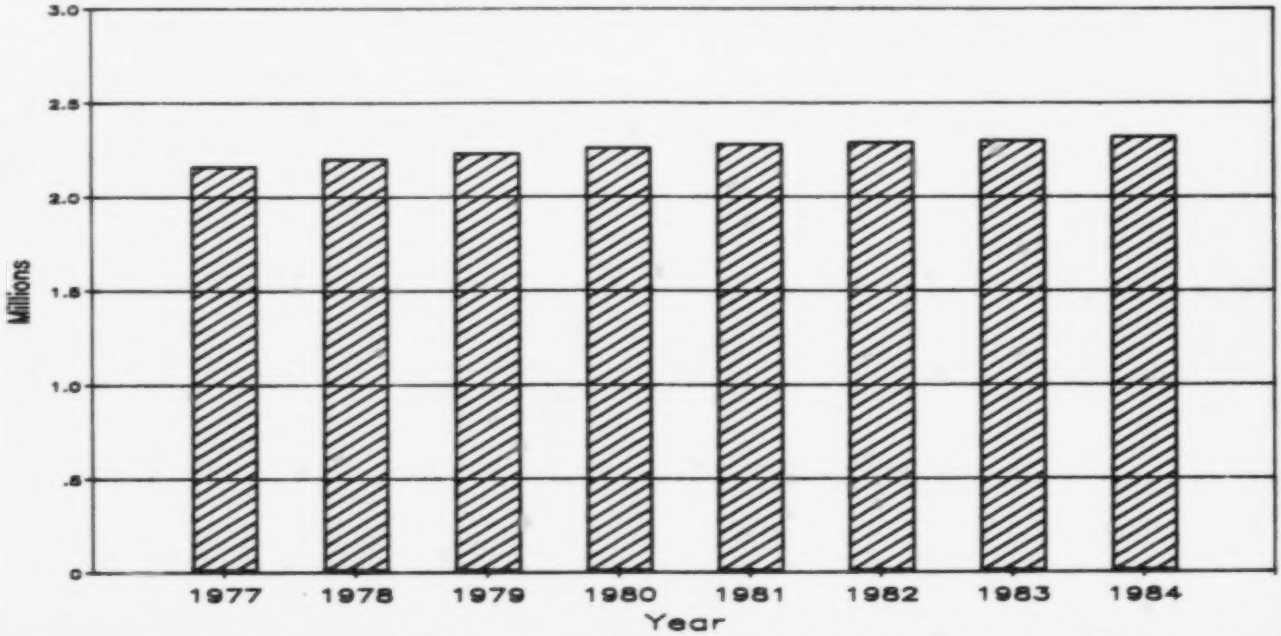
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



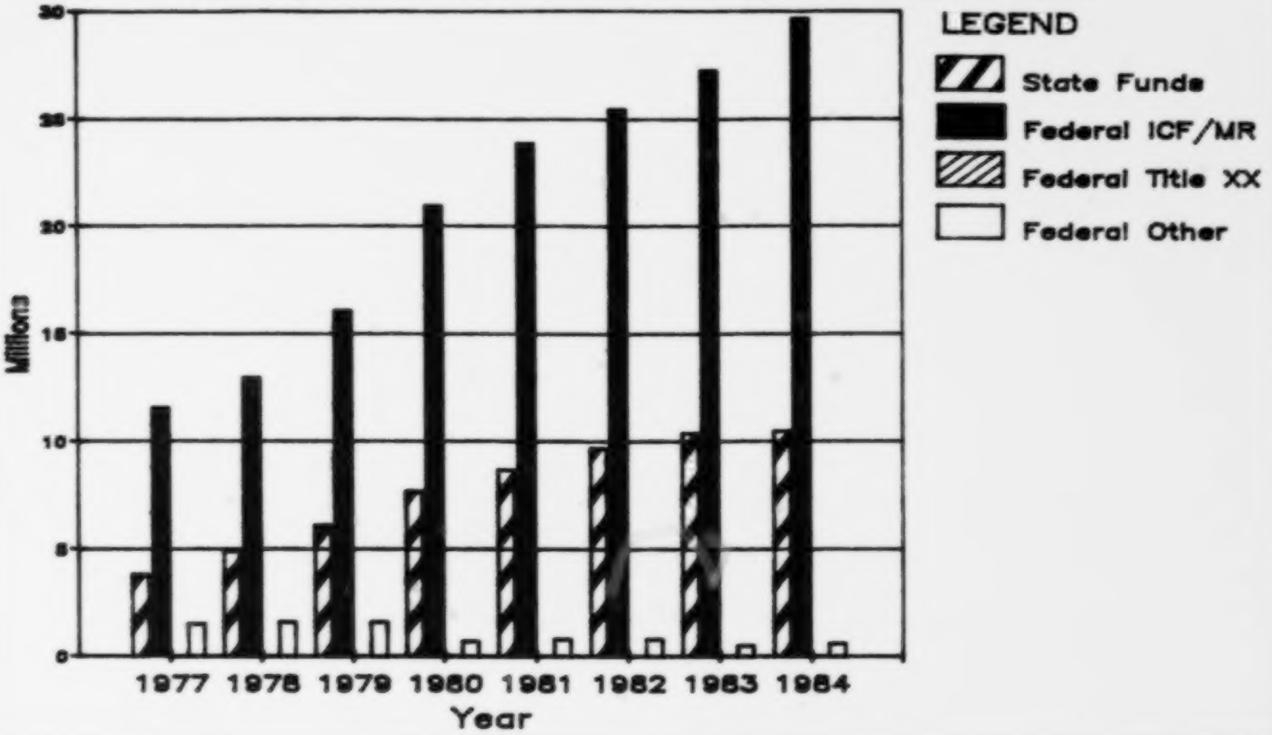
The Total State General Population FY 1977–1984



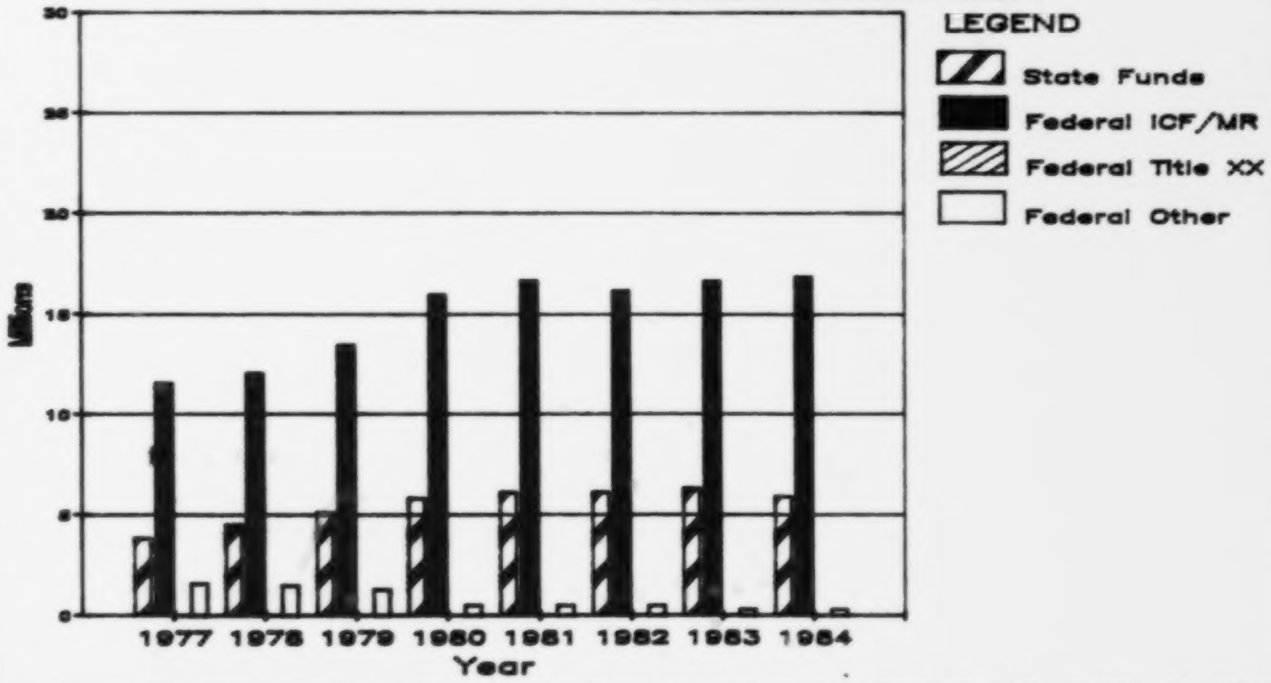
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

ARKANSAS

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

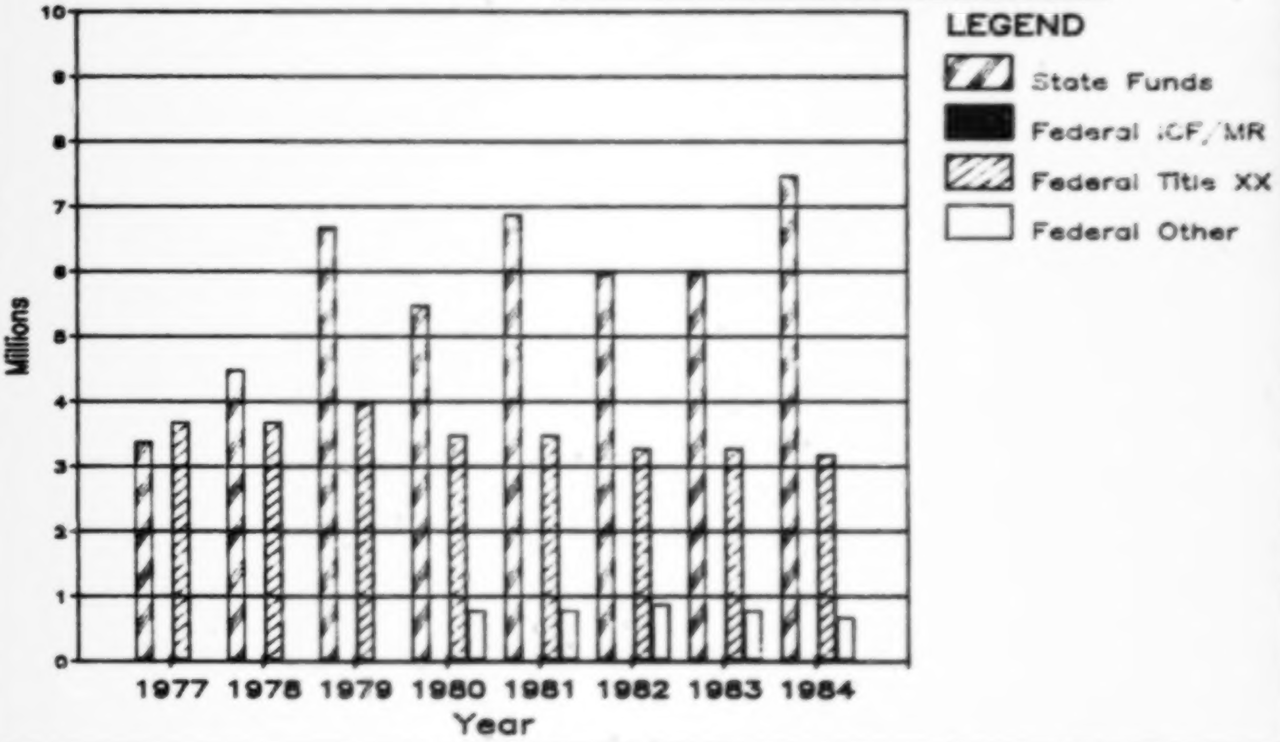


FY 1977–1984, *In 1977 Dollars*

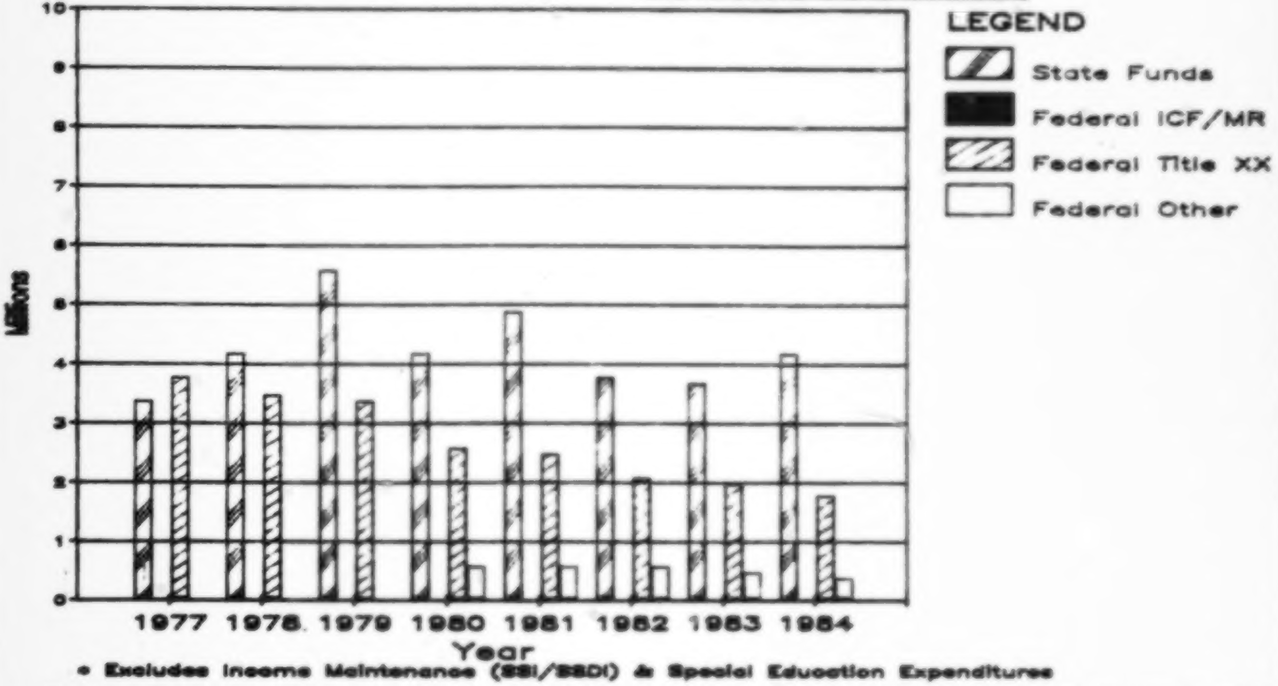


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS
MR/DD Expenditures for *Community** Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



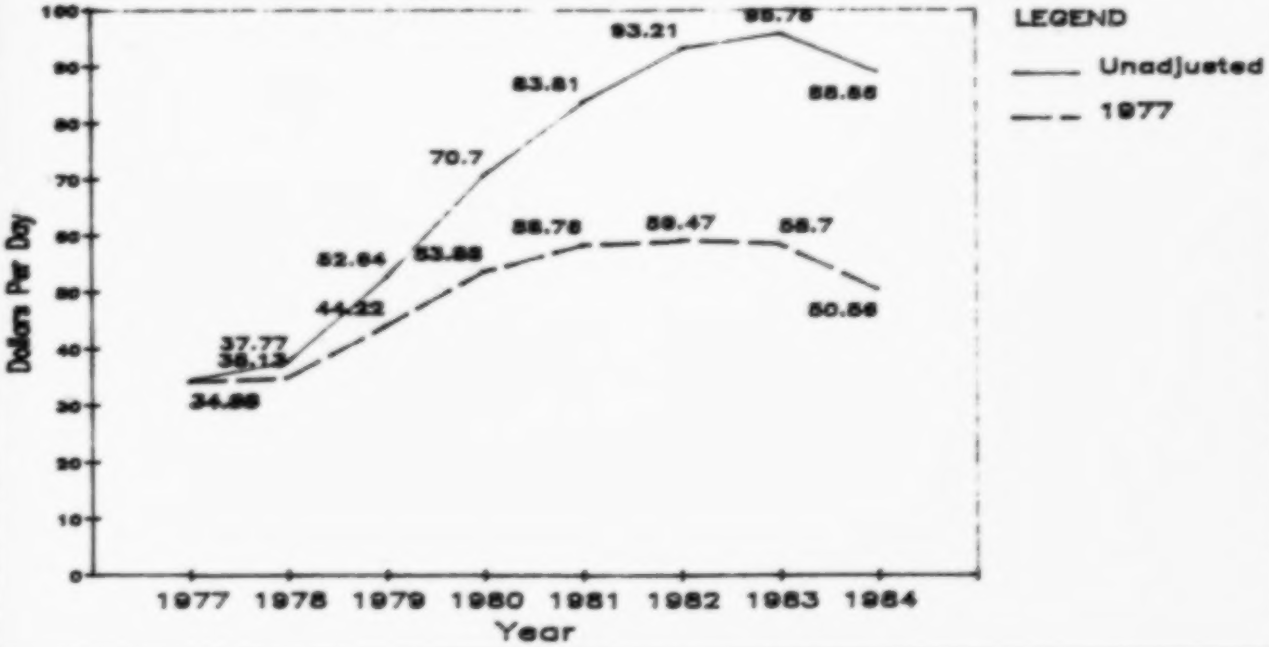
FY 1977–1984, *In 1977 Dollars*



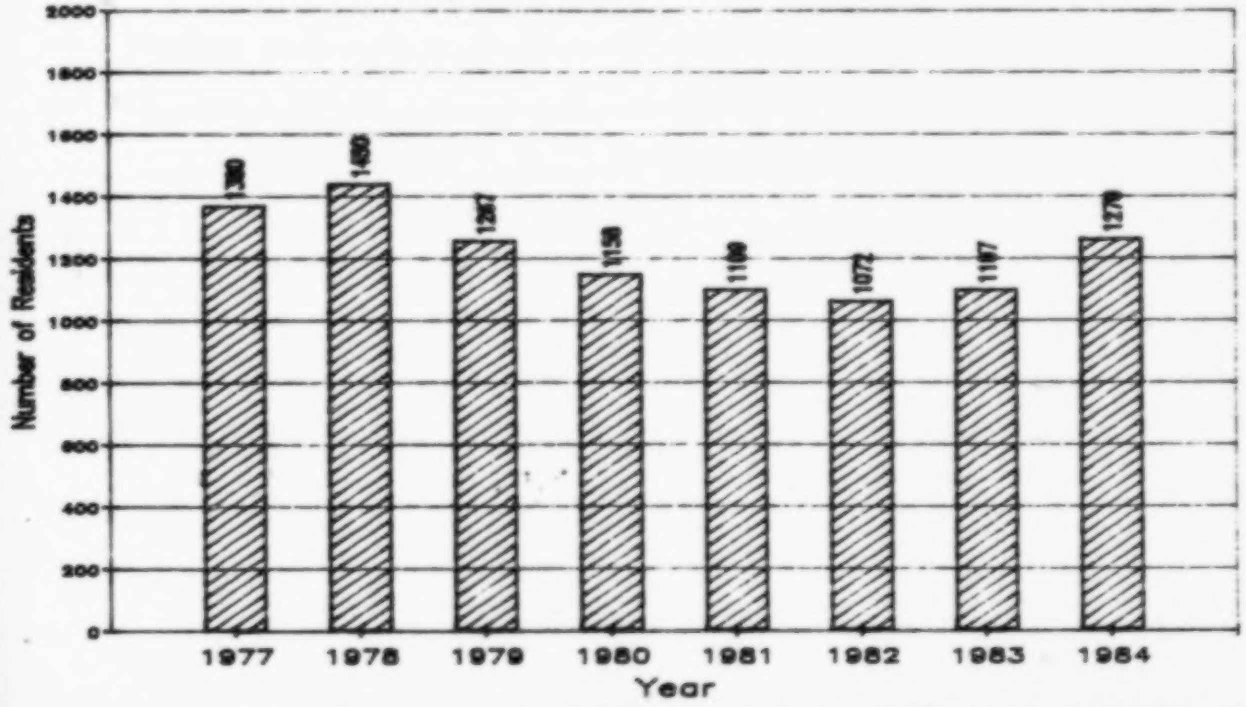
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Hemp, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ARKANSAS

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: "Developmental Disabilities Services" is one of five major divisions within the Department of Human Services. The other divisions are: Community Services, Mental Health Services, Rehabilitation Services, and Social Services.

2. Budget Format: The Arkansas budget documents provided the following basic format throughout the eight years of this analysis. (As noted in Note 3 below, the organizational detail for MR/DD programs was more apparent in the FY `83-`85 Biennium document.) The basic format was:

Department of Human Services
  Mental Health
  Mental Health/Benton Services Act
  Mental Health Federal Grant
  Mental Retardation*
    Mental Retardation-Developmental Disabilities--Cash
      Maintenance and General Operation
    Mental Retardation Account
      General Revenues
      Federal Reimbursement
      Cash Fund
        [Authorized Appropriation]
      MR/DD Federal Grants

*Same fund source detail in Mental Retardation provided for Mental Health above

3. Note on Data Sources: Arkansas Budget Documents for the FY `77- `79, FY `79- `81, and FY `83- `85 Biennia were reviewed. These documents provided "actual" expenditure figures for FY `78 and FY `82; "budgeted" expenditure figures for FY `77 and FY `79; "legislative recommendation" figures for FY `80 and FY `81; an "allocation" for FY `83; and "Executive Recommendation" figures for FY `84 and FY `85. However, except for the FY `83 - `85 Biennium document, which details the Department of Human Services divisions and offices, the budget books provided line item detail, but did not offer any good indication of fund source breakdown nor of the relationship between Community and Institutional services expenditures.

   Initial correspondence on 7/29/83 from Harold Nethercutt, Ed.D., Deputy Commissioner, Administrative Services, Division of Developmental Disabilities provided "Expenditures from General Operating Account" for "Human Development Centers plus Central Office Support" and for "Community Services (including Grants-in-Aid)." In a subsequent discussion (9/7/83), Dr. Nethercutt noted that there are additional Federal funds of approximately $1,800,000/year (Title I, USDA, Foster Grandparents, and Vocational Education).

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditures for the six Human Development Centers as reported in Nethercutt's 7/29/83 correspondence. In subsequent telephone interview (Sam Lamey, Office of Financial Management, Division of Social Services), it was noted that the Human Development Center figures included Federal and State Title XIX matches. Therefore the following match ratios (obtained from the Federal Health Care Financing Adminstration-HCFA) were utilized to separate state and federal funds:

HCFA Title XIX ICF/MR Federal/State Match Rates

Federal F.Y.	Federal %	State %
'77	.7460	.2540
'78	.7206	.2794
'79	.7206	.2794
'80	.7287	.2713
'81	.7287	.2713
'82	.7216	.2784
'83	.7216	.2784
'84	.7365	.2635

The aggregated "average population" figures for the six Human Development Centers (five Centers in FY '77, '78) for the fiscal years of the analysis are:

FY '77 - 1,380
FY '78 - 1,450
FY '79 - 1,267
FY '80 - 1,158
FY '81 - 1,109
FY '82 - 1,072
FY '83 - 1,107
FY '84 - 1,270

Source: Mr. Ed. Sartain, Administrative Services, Division of Developmental Disabilities, correspondence, 6/13/84.

5. Other Federal Funds for FY '77-'79 consists of: USDA--$300,000; Foster Grandparents--$300,000; Vocational Education--$200,000; and Title I--$1,000,000. The FY '80-'84 figures for total Other Federal Funds were provided in 1/24/84 correspondence from Ray Nelson, Ph.D., Commissioner Division of DD Services.

III. COMMUNITY SERVICES

6. Community Services consists of the expenditure figures originally reported in the 7/29/83 correspondence (see Note 3 above). In addition, there are Title XX Federal fund figures, and (for '80 -'84 only) Federal ESEA Title I funds as reported in the 1/24/84 correspondence from Dr. Nelson.

7. State General Funds consist of the expenditures obtained in the 7/29/83 correspondence from the Deputy Commissioner for Administrative Services.

8. Other State Funds consists of the 10% private contribution match to Federal Title XX (SSGB) funds (see Note 10 below).

9. Title XIX. Arkansas anticipates HCFA approval of Title XIX reimbursement under the Community Care Waiver in late FY '84. No revenue projections, however, are now included in the data.

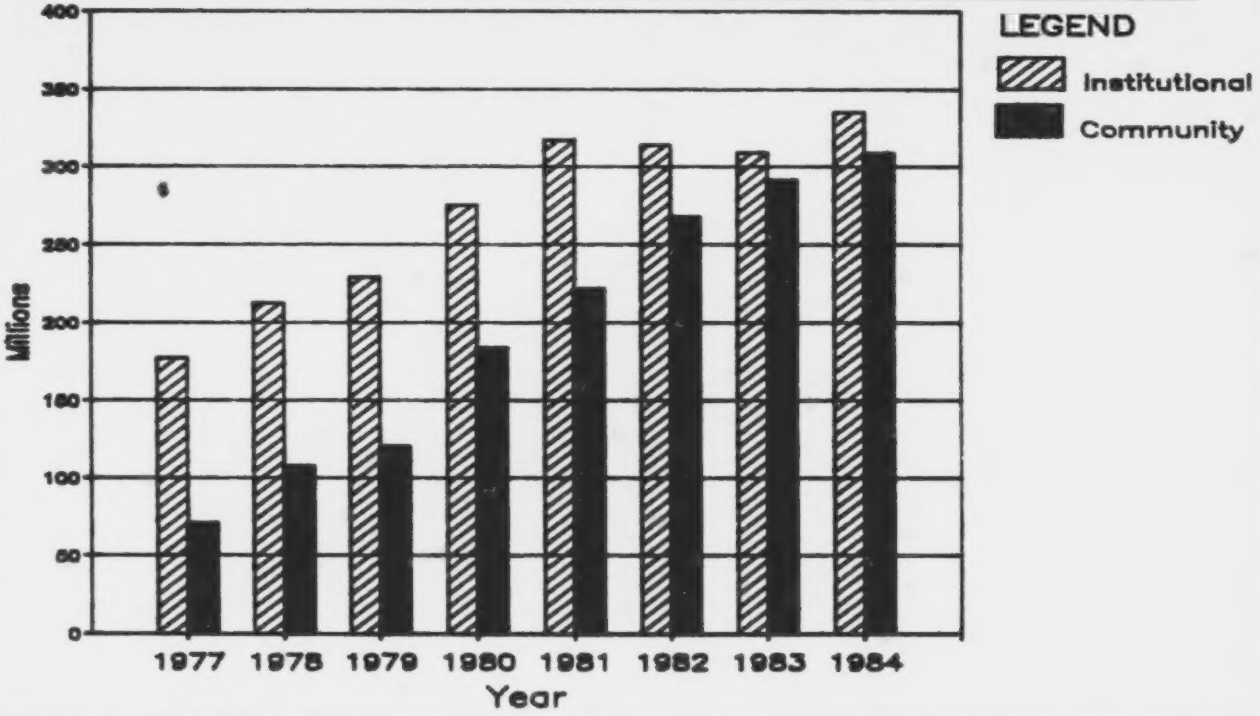
10. Title XX figures were obtained in a telephone interview (9/7/83) with Mr. John Lambert, Policy and Planning Section, Office of Title XX. Lambert provided total Federal/State match Title XX figures and indicated that the 15% state match figures were already included in the figures provided in the 7/29/83 Deputy Commissioner's correspondence. Therefore, 75% of the Title XX figures reported by Lambert are included here, designated Federal Title XX. Calculations were done to impute the annual amount of Private contribution, and these figures are entered in the Analysis as Other State Funds (see Note 8 above). For example, the FY '77 Title XX Federal/State figure was $5,000,000. Twenty-five percent of this figure ($1,250,000) represents the private and state match. A factor of .4 is then applied to this match amount to impute the private portion. In the FY '77 example, this would be $500,000--the figure entered as Other State Funds in the analysis. The remainder ($750,000, or 15% of the $5,000,000 FY '77 Title XX total) has been the amount imputed to be included within the Community Services State General Fund figures provided in the 7/29/83 correspondence.

11. Other Federal Funds consists of ESEA Title I funds for FY 1980 - 84, as indicated in 1/24/84 correspondence with the Commissioner, Division of DD Services.

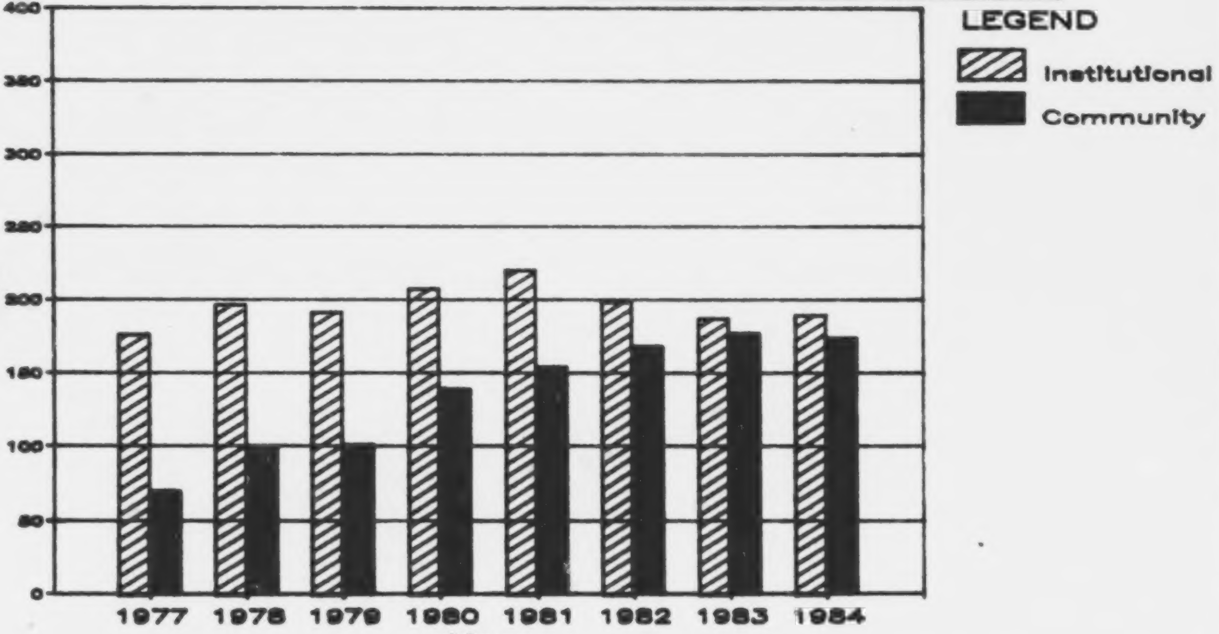
CALIFORNIA

STATE PROFILE

CALIFORNIA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

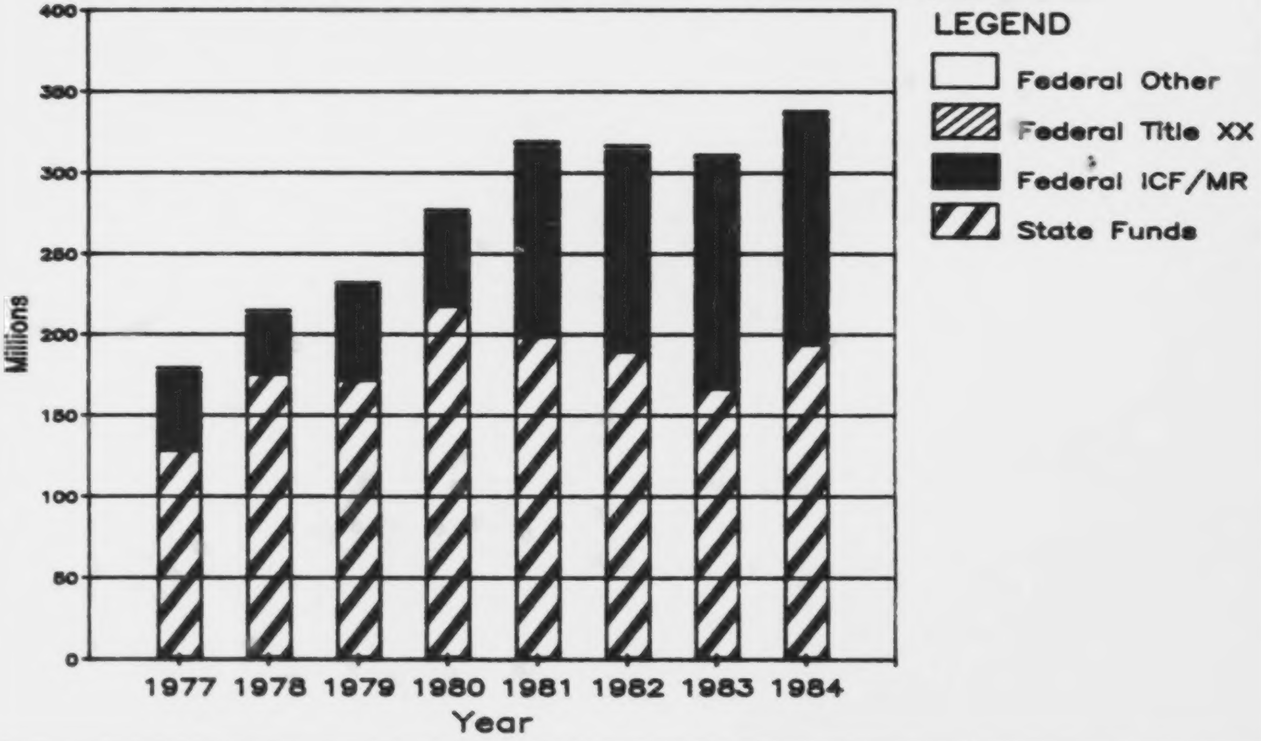


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

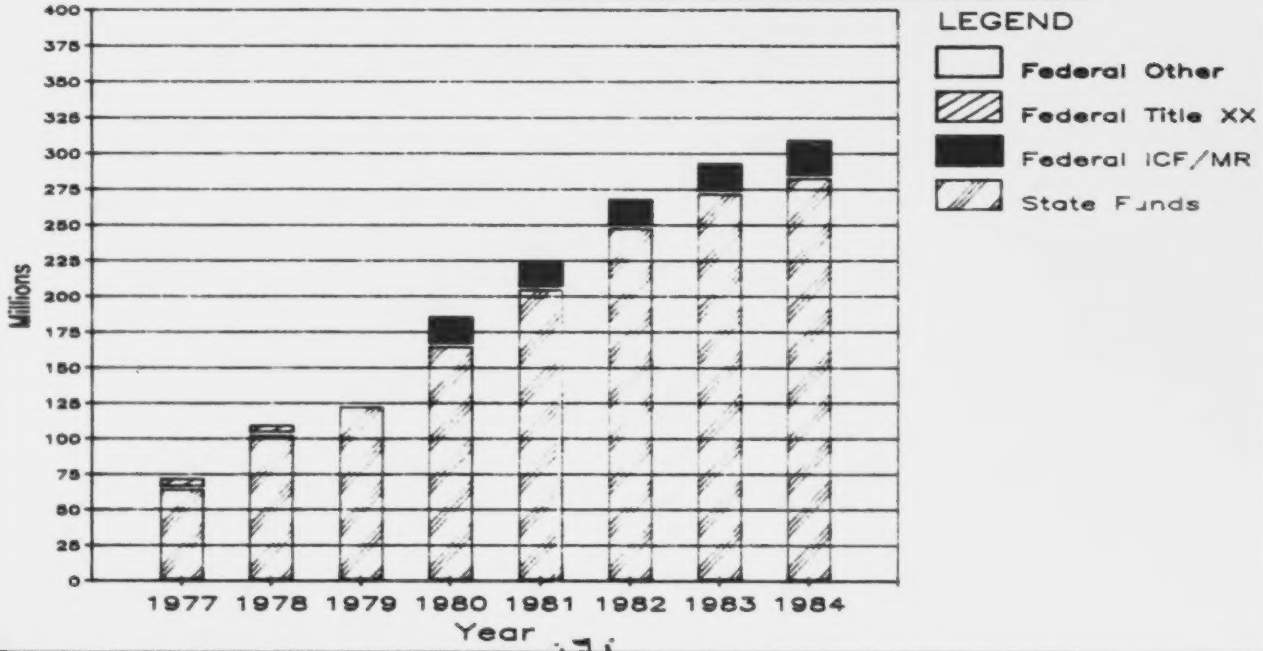
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA

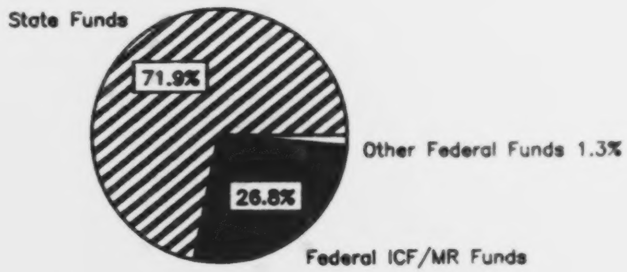
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



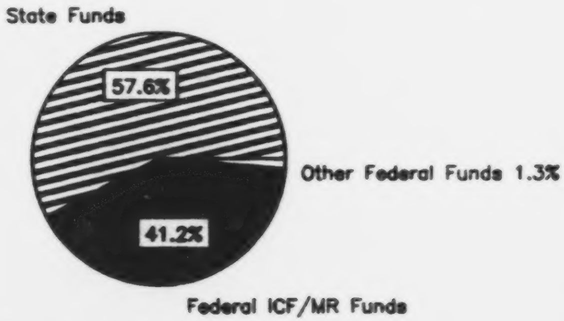
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



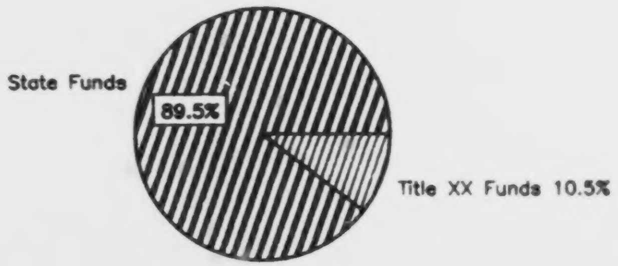
CALIFORNIA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



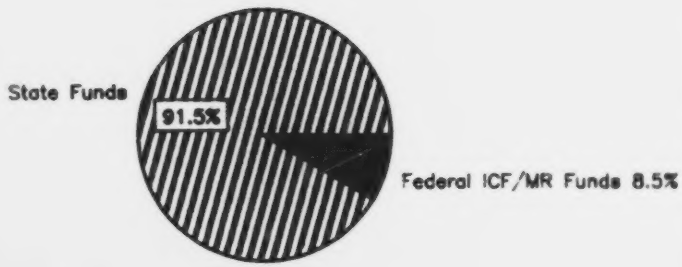
Institutional: 1977 Total Funds—$180 Million



Institutional: 1984 Total Funds—$339 Million



Community: 1977 Total Funds—$73 Million

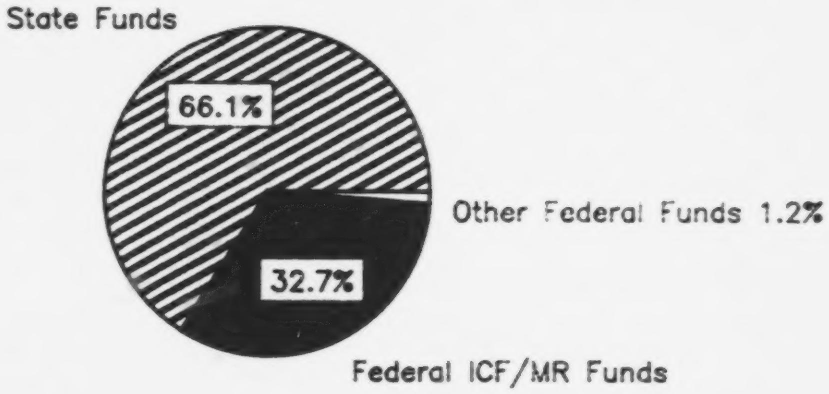


Community: 1984 Total Funds—$312 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

CALIFORNIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

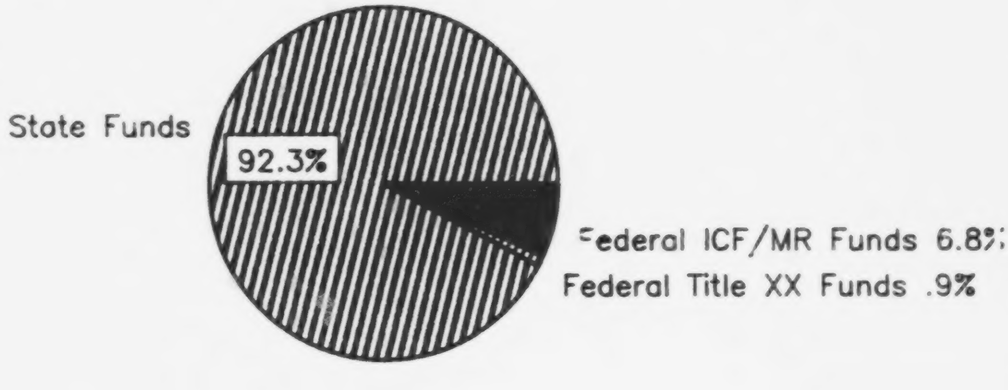
Institutional Services Funds



Total Institutional Dollars: $2.2 Billion

Community Services Funds

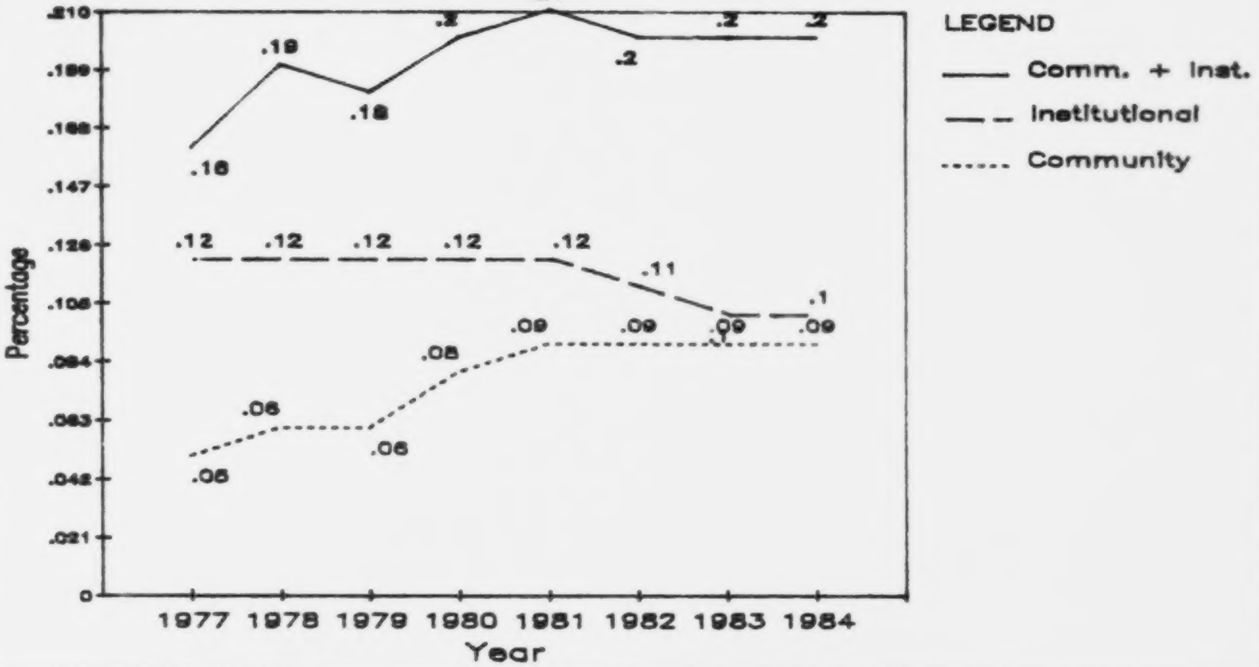
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



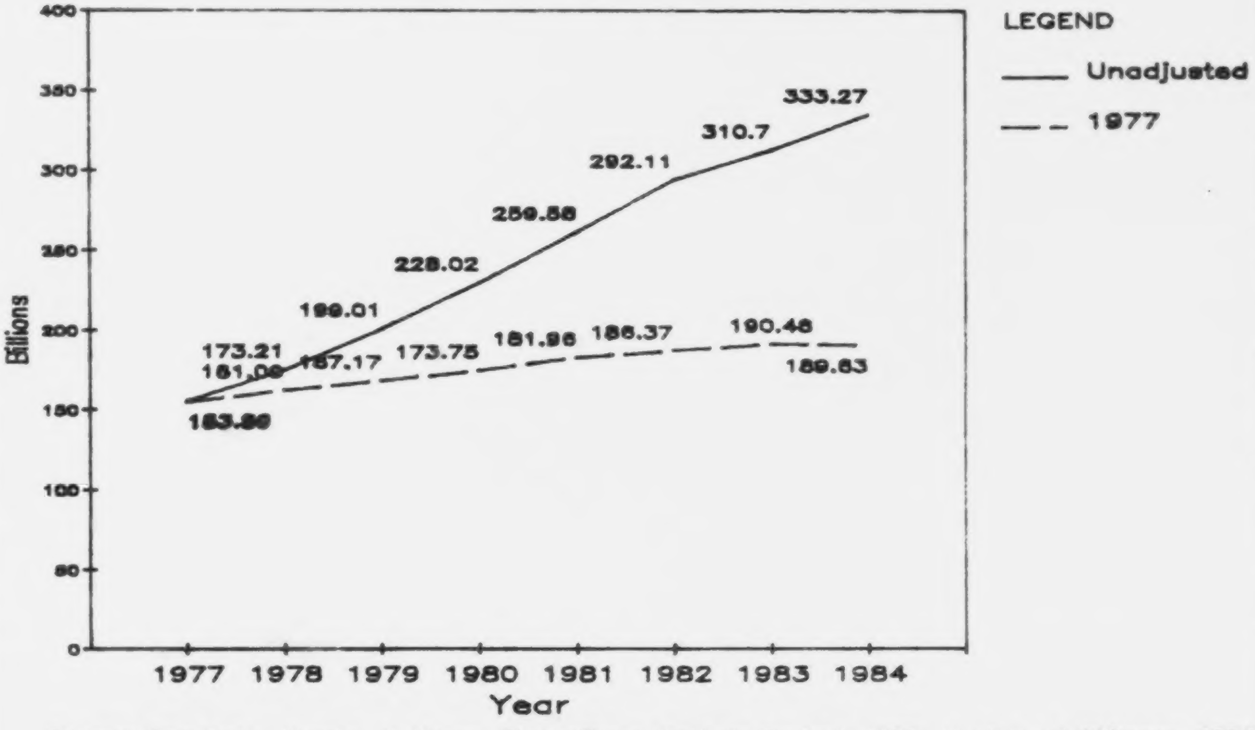
Total Community Dollars: $1.6 Billion

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



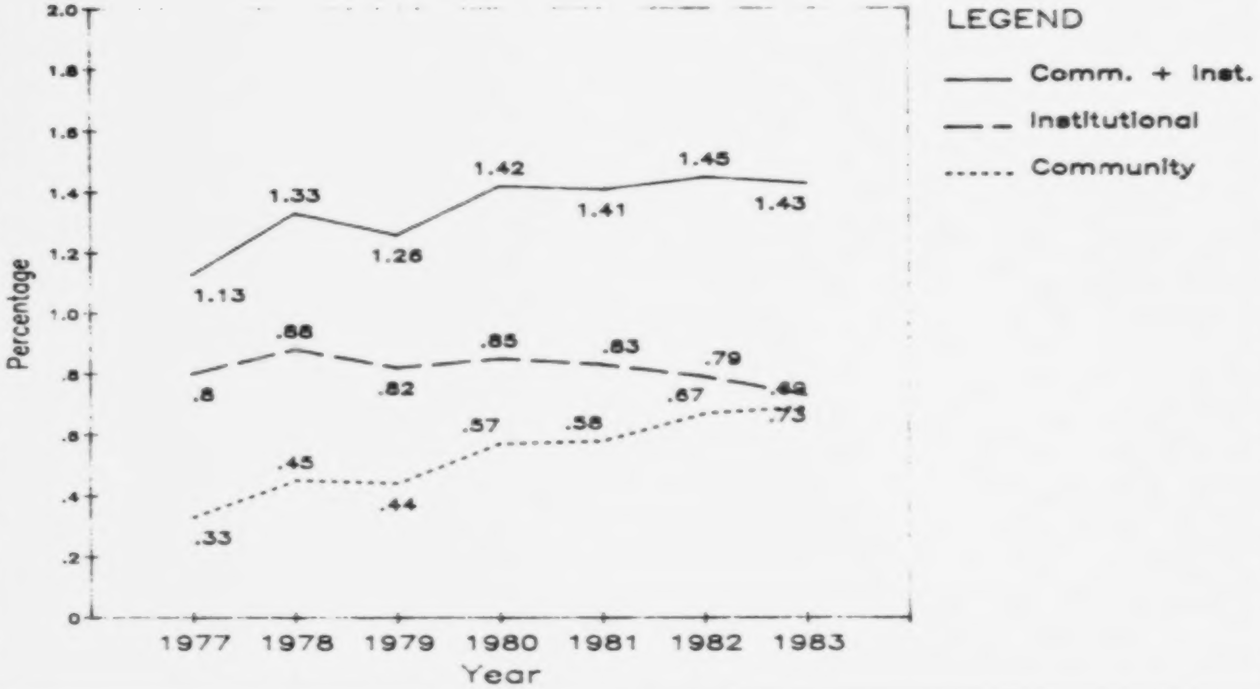
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



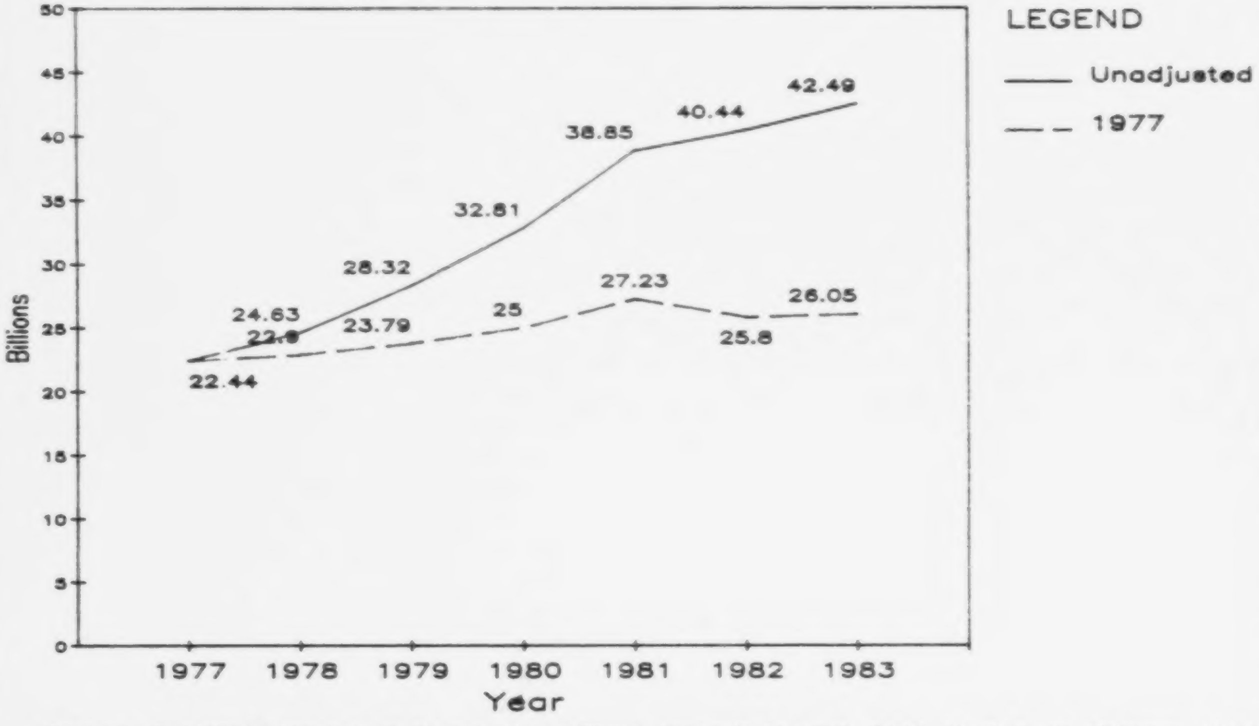
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



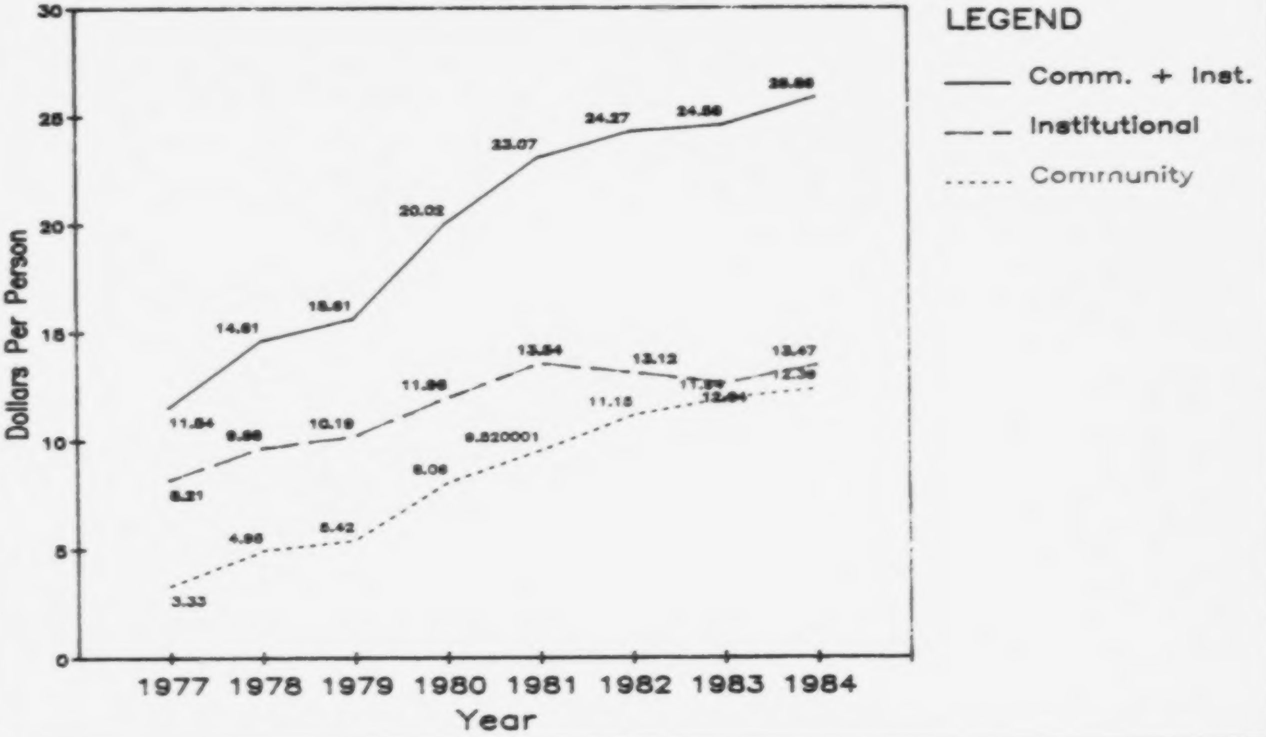
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



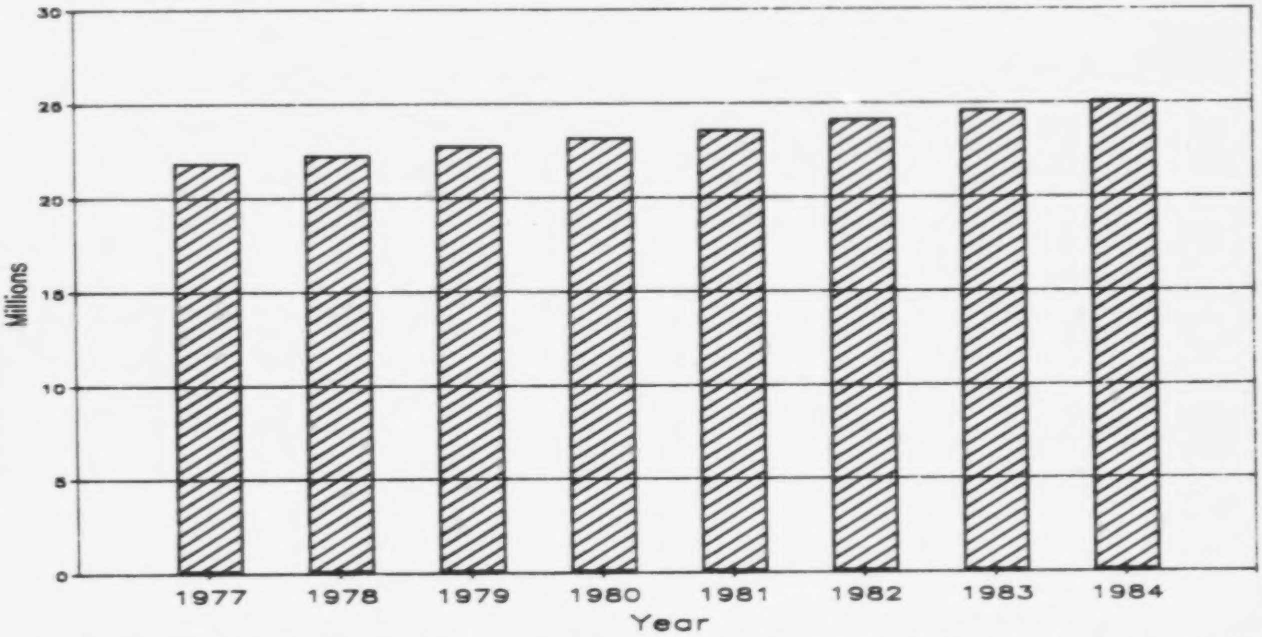
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



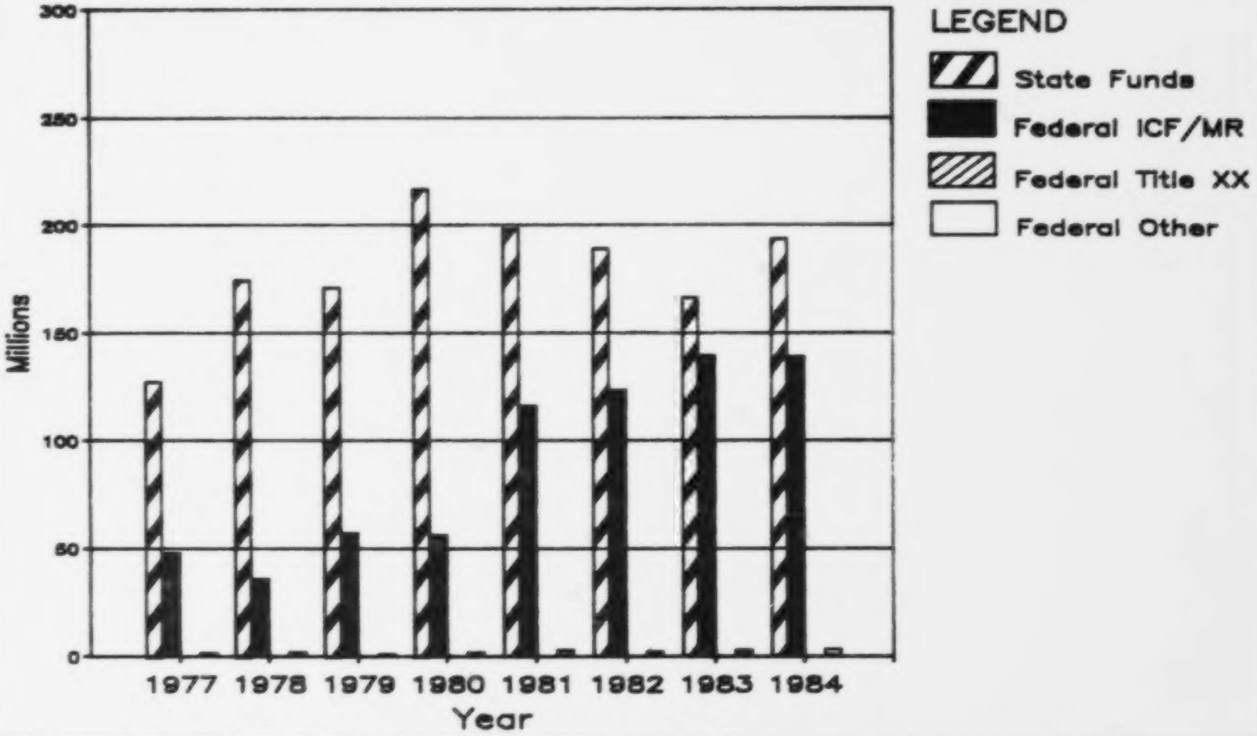
The Total State General Population FY 1977–1984



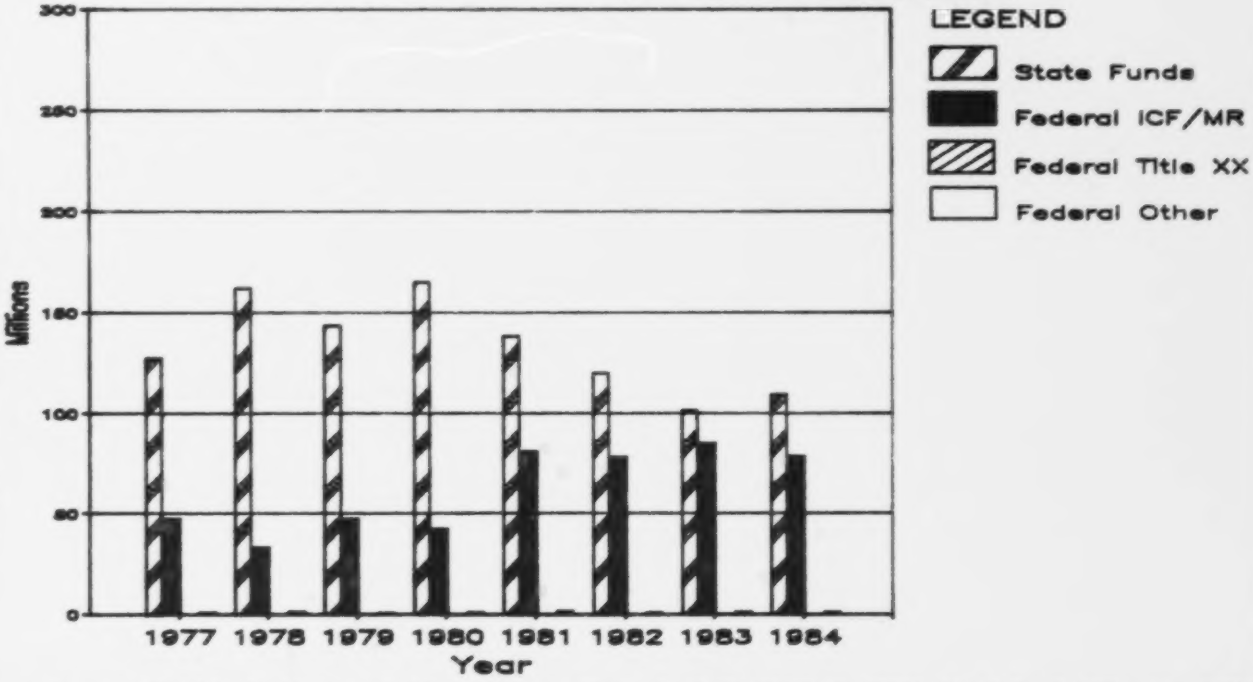
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

CALIFORNIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

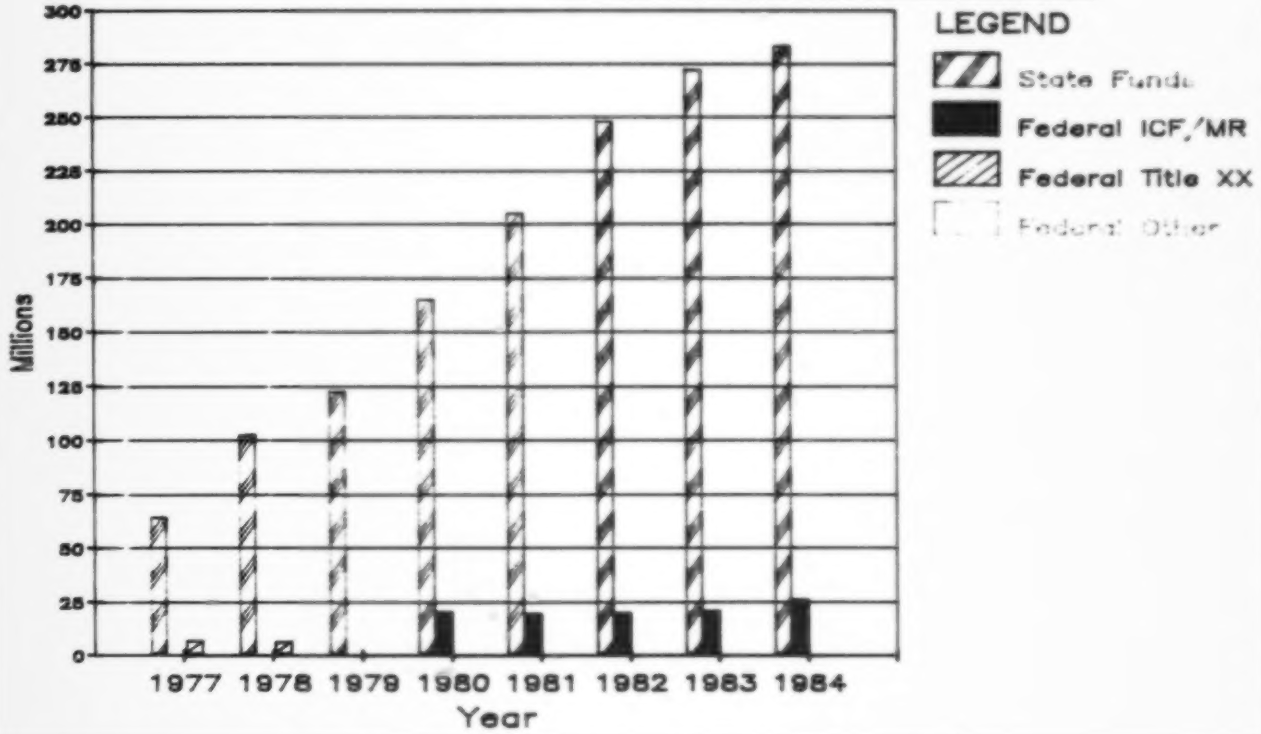


FY 1977–1984, *In 1977 Dollars*

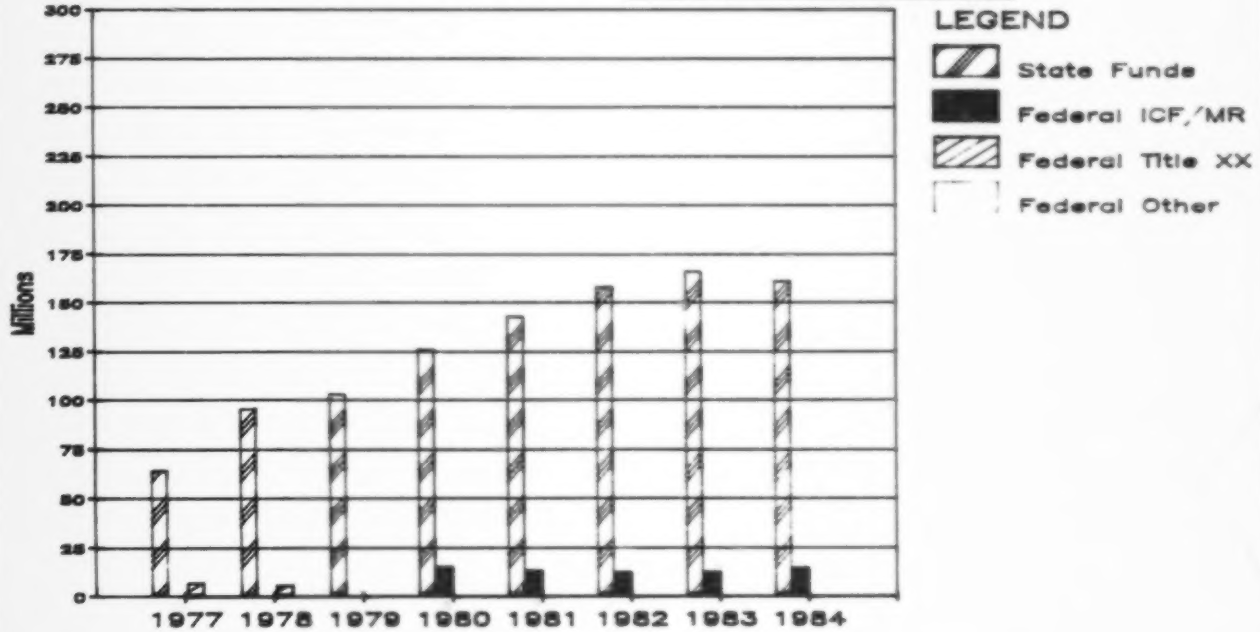


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA
MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



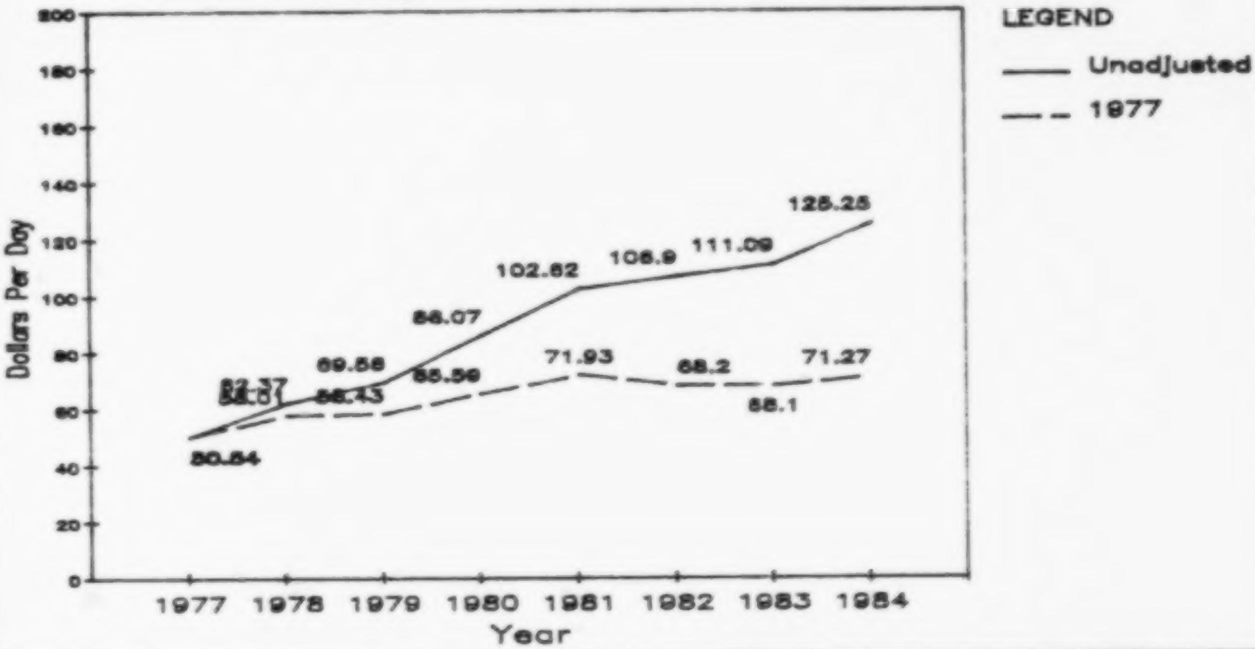
FY 1977–1984, ***In 1977 Dollars***



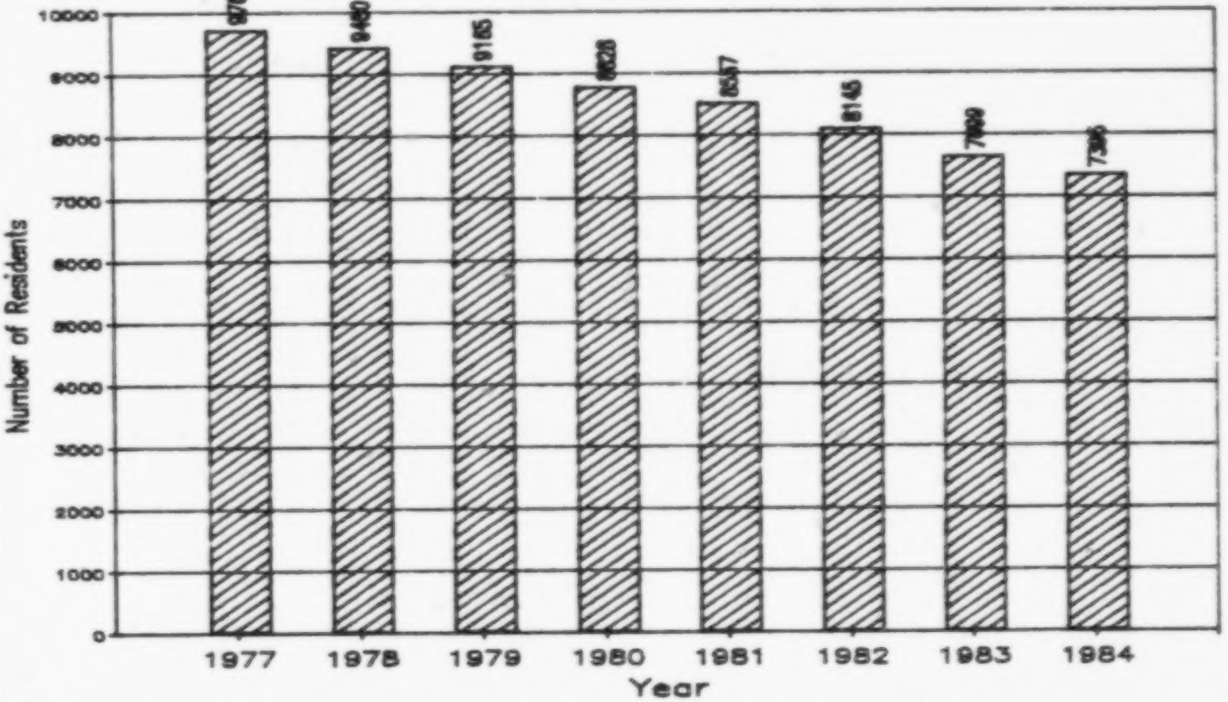
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CALIFORNIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Institutional and community services for the mentally retarded and developmentally disabled citizens of California are provided by the Department of Developmental Services, a cabinet-level Department formed in 1978.

2. Budget Format: The basic format appearing in the California Executive Budget documents for MR/DD programs is:

   - Department of Developmental Services
     - General Fund
     - DD Program Development Fund
     - Federal Funds
     - Reimbursements
   - Community Services Program
     - General Fund
     - Federal Funds
     - DD Program Development Fund
     - Reimbursements
   - State Hospital Services Program
     - General Fund
     - Federal Funds
     - Reimbursements
   - Planning and Evaluation
     - General Funds
   - Legislative Mandate
     - General Fund

3. Note on Data Sources: Expenditure figures were determined from inspection of the State of California Governor's Budget documents for State Fiscal Years 1976/1977 through 1983/1984 and from a series of telephone interviews and correspondence with officials in the California Department of Developmental Services (Budget Section and Community Services Division); the California Department of Health Services (Benefits Section); the Department of Social Services (Welfare Programs Operations); and the State Council on Developmental Disabilities.

   The FY `77 through FY `84 figures were originally obtained from the Governor's Budget documents for California Budget Years 1979, 1980, 1982, 1983 and 1984. In correspondence with the DDS Budget Section Chief, Kenneth S. Buono, on October 4, 1983, Community and Institutional Services expenditures and revenue sources were provided. These figures were further clarified for our analysis by Fran Coletti, Budget Section, (10/13/83). The expenditure figures were then subsequently updated on January 18, 1984, in correspondence with Carole Hood, Deputy Director, Administration Division, DDS.

   Our figures for Institutional and Community services funding correspond with the "Summary by Object" sections of the Governor's Budget documents, but do not include central administrative expenses. Approximately $2,000,000 per year in depreciation is currently built into the Medi-Cal (Title XIX) reimbursement for physical plant expenses at state hospitals (and therefore in this analysis). This was indicated by Mark Stayton, Budget Section, in a phone interview (11/4/83). He also noted that the drop between FY `77 and FY `78 in Title XIX Federal funds was due to de-certification of DD state hospital units. An infusion of State funds for environmental and staffing improvements followed and the effect of this is shown in the large increase in Title XIX funding between FY `80 and FY `81.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of funding for the nine state hospitals serving developmentally disabled persons. The state hospital developmental disabilities residential population ("last Wednesday of fiscal year") is reported in the Governor's Budget documents. Our analysis utilized the calculated population figures as indicated in the second column below ("mid-fiscal year") which were obtained by averaging the "last Wednesday" figure of the prior year and that of the current year:

Aggregated Population Figures for State Hospitals

"Last Wednesday of FY"	"Mid-Fiscal Year"
FY 1976 -- 9,942	
FY 1977 -- 9,585	FY 1977 - 9,764
FY 1978 -- 9,374	FY 1978 - 9,480
FY 1979 -- 8,955	FY 1979 - 9,165
FY 1980 -- 8,700	FY 1980 - 8,828
FY 1981 -- 8,413	FY 1981 - 8,557
FY 1982 -- 7,877	FY 1982 - 8,145
FY 1983 -- 7,520	FY 1983 - 7,699
FY 1984 -- 7,270	FY 1984 - 7,395

NOTE: Effective 7/1/82 (at the beginning of FY 1983) the number of State Hospitals serving DD clients was reduced to eight with the phase-out of Patton State Hospital.

5. State General Funds was reported in the Budget Section correspondence as "net state cost" after "pay patient board." Medicare, and Medi-cal Federal revenues had been subtracted from the "total expenditures" at the state hospitals. "Pay patient board" is included in this analysis as Other State Funds except for the portion attributable to the Federal source, CHAMPUS, which is included with Other Federal Funds--see Note 7 below.

6. Title XIX consists of the Federal Share of the Medi-cal Title XIX reimbursement to certified state hospitals. (Note: Medi-cal is the designation in California for the Federal Medicaid-Title XIX program. Thus, the "Medi-cal" services area within the California Department of Health Services is responsible for administration of Federal Title XIX reimbursements in both the Department of Developmental Services' state hospitals and in the Private ICF/MR program--see Note 11.)

7. Other Federal Funds consist of Medicare (Title XVIII) Federal revenues Also, as indicated in Note 5 above, the CHAMPUS portion of "pay patient board" has been included. Below are the amounts of CHAMPUS Federa funds which are included ($ in thousands):

FY'77	FY'78	FY'79	FY'80	FY'81	FY'82	FY'83	FY'84
$51.0	94.0	76.0	117.0	166.0	127.0	149.0	168.0

III. COMMUNITY SERVICES

8. Community Services consists of the twenty-one Regional Centers' DD operations expenses, and the purchase of services from a large number of private service providers, who offer out-of-home care, day programs, medical services, respite care, and other community services for persons with developmental disabilities.

9. State General Funds are exclusively the figures reported by the Budget Section as "state general fund."

Special Notes:

a) In FY 1982, funding for the "work activity program" was transferred from the Department of Developmental Services to the Department of Rehabilitation. However, for purposes of continuity, these funds, which are all "state general funds," are included in our figures. Expenditures for the work activity program are:

FY `82 -- $35,077,000
FY `83 -- $39,584,000
FY `84 -- $38,619,000

b) In telephone contact with the DDS Community Services Division (10/13/83), and in correspondence with the DDS Budget Section (10/4/83), it was indicated that the Department reports (as revenue in the twenty-one Regional Centers) the Federal and State share of the Supplemental Security Income/State Supplemental Payment (SSI/SSP). These funds, which are administered by the Department of Social Services, are not included in the present analysis, a judgement concurred with by DDS Budget Officials in correspondence. For reference, SSI/SSP Regional Center funds, as reported by the Department of Developmental Services, advanced from $12 million in FY 1977 to $88 million in FY 1984. The Federal/State shares are in a ratio of 60/40.

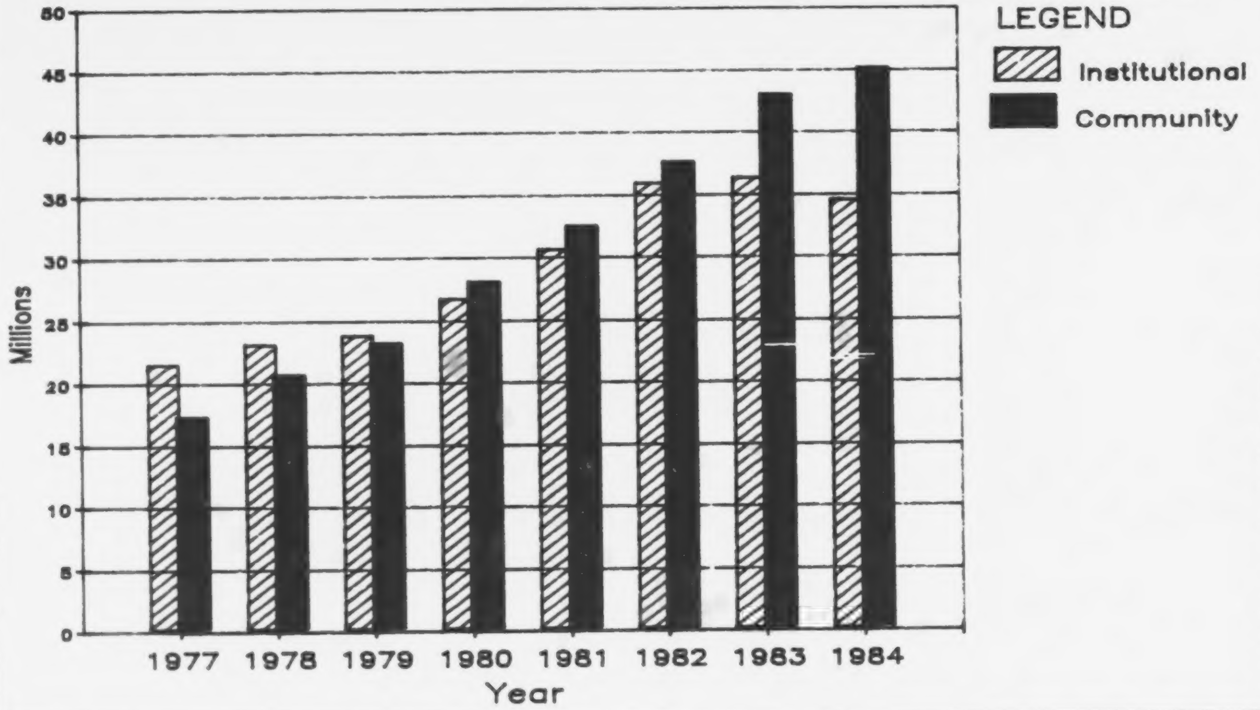
10. The Title XIX Community Care Waiver has been approved in California for reimbursement in FY `84 of non-institutional, community-based services. Although not included at this time in the analysis, the DDS Budget Section reported that "anticipated" FY `84 Federal reimbursement had been included in the Department's "Base Budget" for FY `85 in the amount of $8,057,000.

11. Private ICF/MR figures were obtained from the Benefits Section, Department of Health Services, which provides the Medi-cal funding for these community residential facilities operated by private service providers (telephone interview with Claire White, 10/14/83). There are two distinct programs within the funded community ICF/MR facilities in California: the "ICF/DD Large" program consists of facilities ranging in size from 16 beds to approximately 45 beds--this program began in FY `80. The "ICF/DD-H" (H stands for "habilitative") program began in FY `83 and consists of ICF/MR facilities of 15 Beds or Less. The ICF/DD-H funding level (included within the Private ICF/MR totals) is:

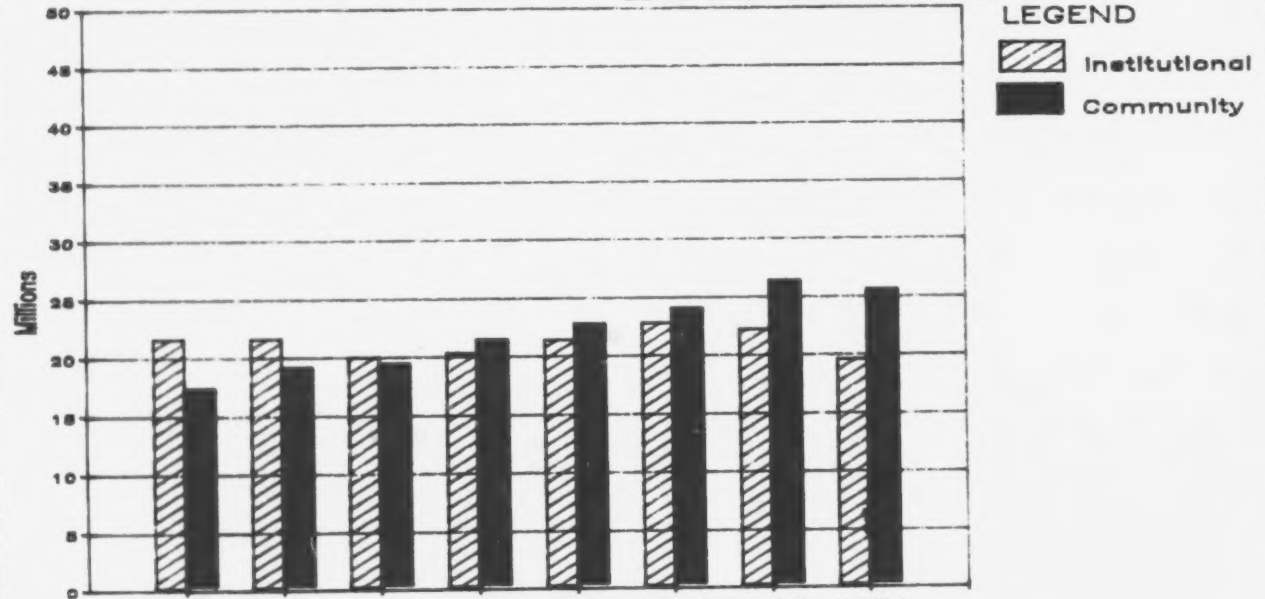
FY `83 -	Federal Share:	$1,175,000
	State Share :	$1,175,000
FY `84 -	Federal Share:	$5,604,500 (estimated)
	State Share :	$5,604,500 (estimated)

COLORADO
STATE PROFILE

COLORADO
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

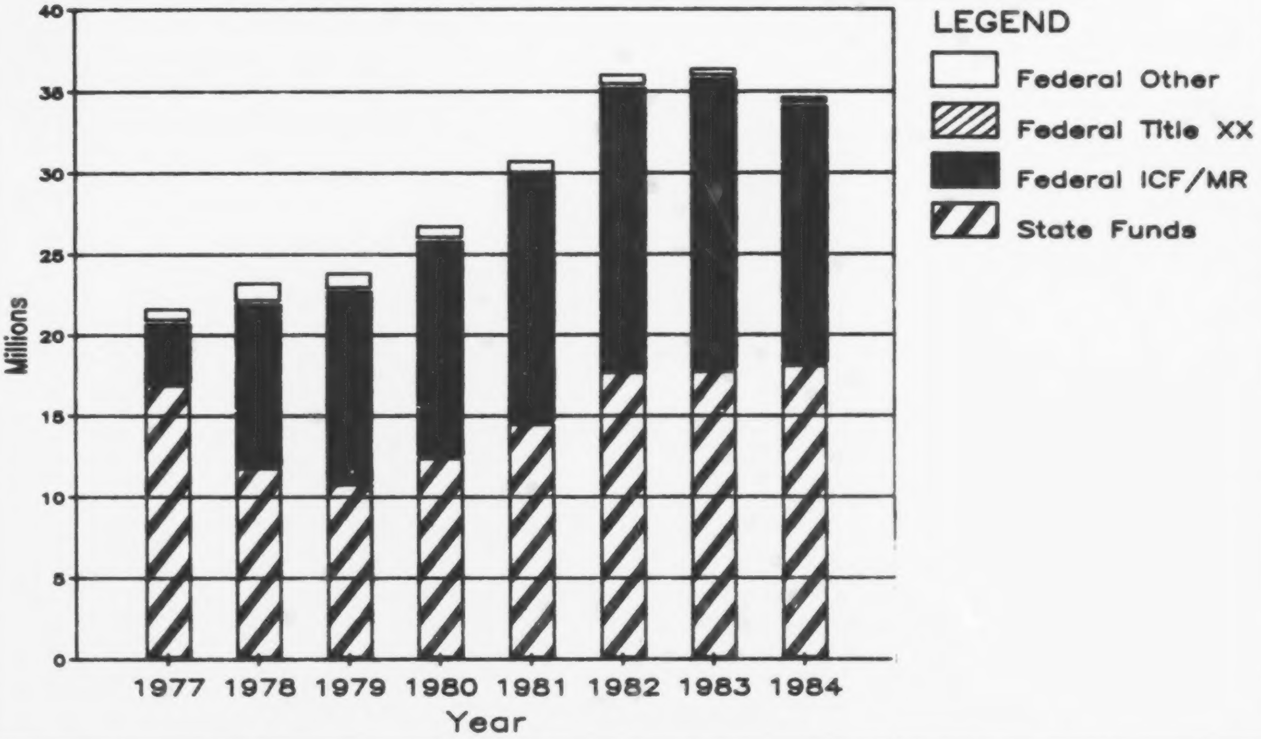


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

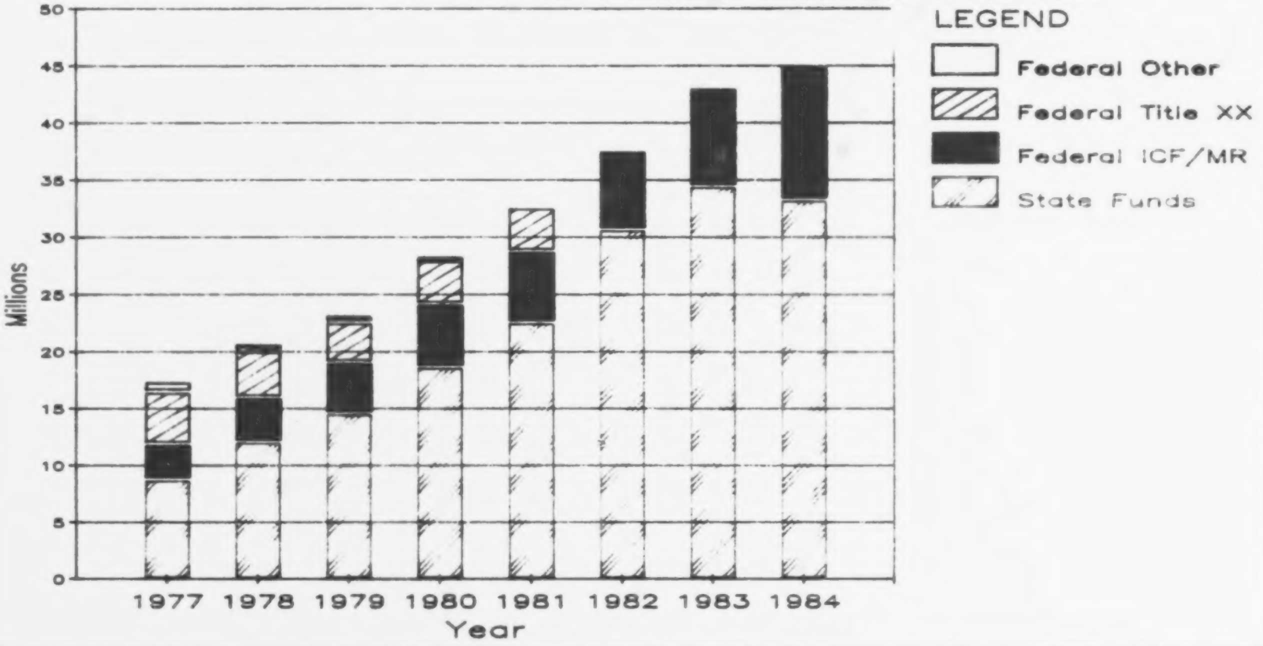
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

COLORADO

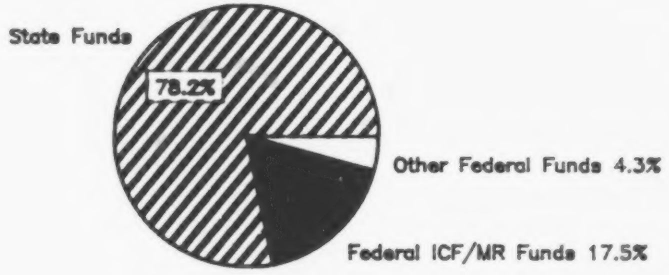
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



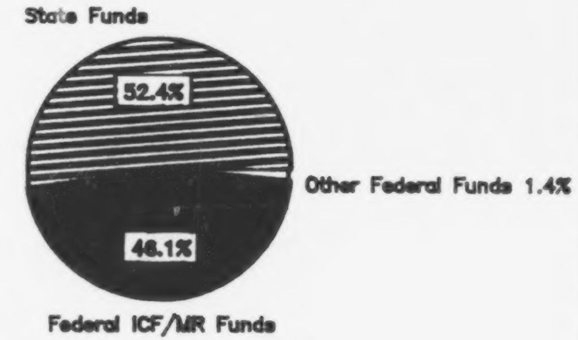
MR/DD Expenditures for *Community** Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



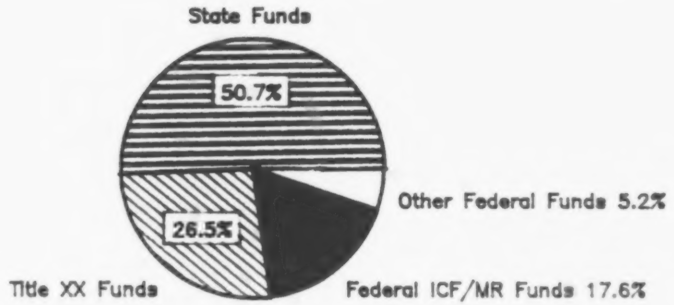
COLORADO
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



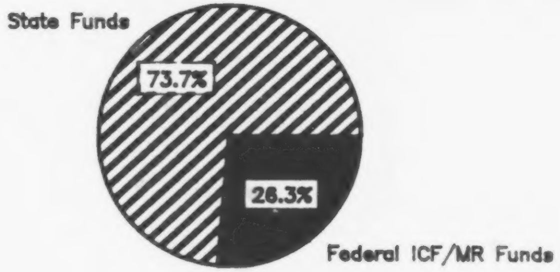
Institutional 1977: $22 Million



Institutional 1984: $35 Million



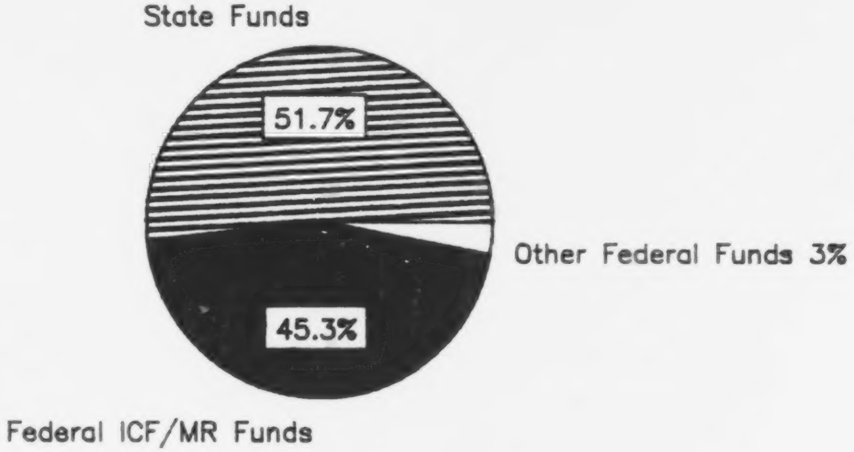
Community 1977: $17 Million



Community 1984: $45 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

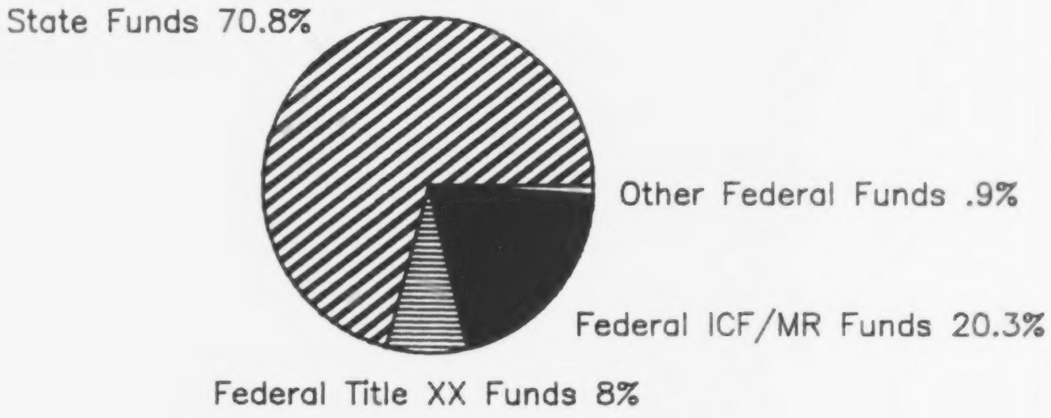
COLORADO
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Institutional Total: $234 Million

Community Services Funds

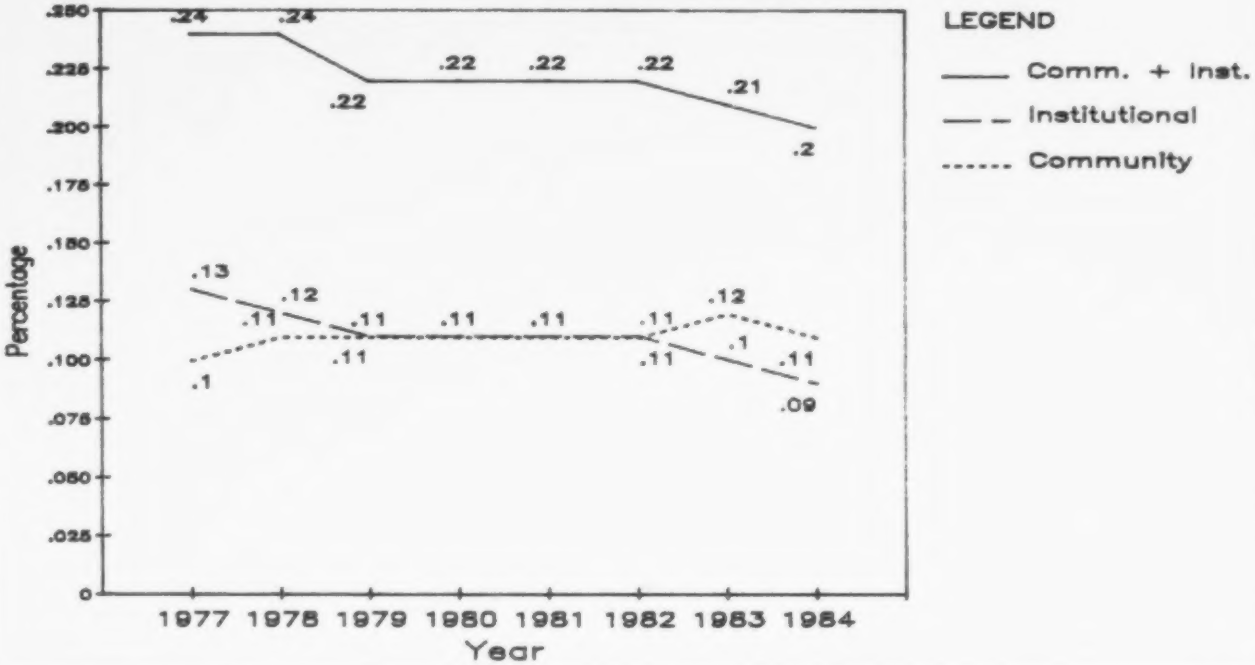
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



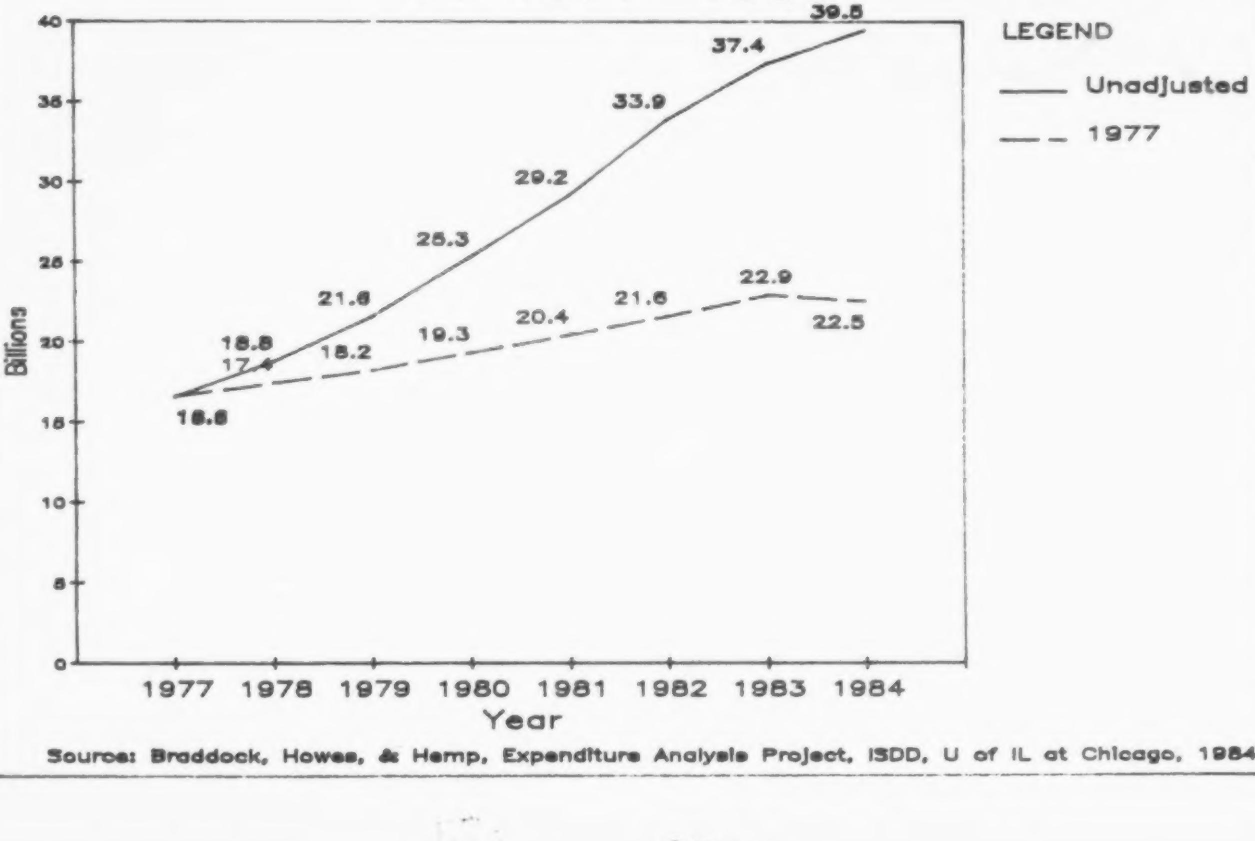
Community Total: $248 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

COLORADO
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



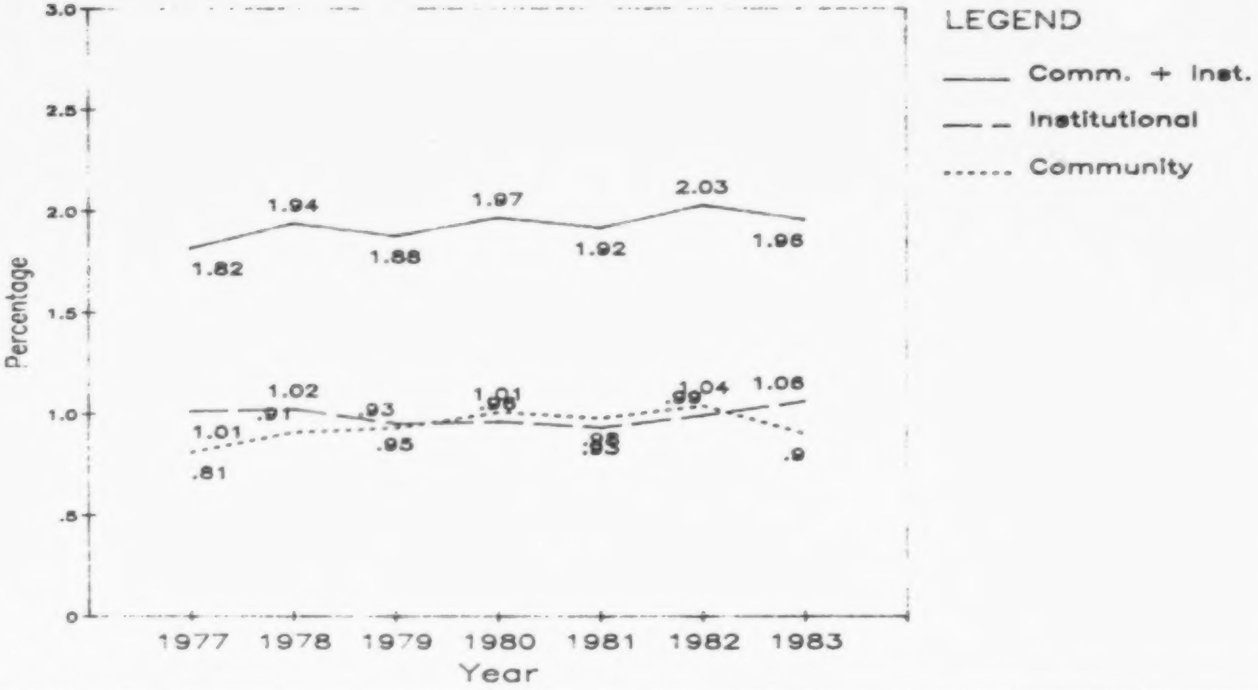
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



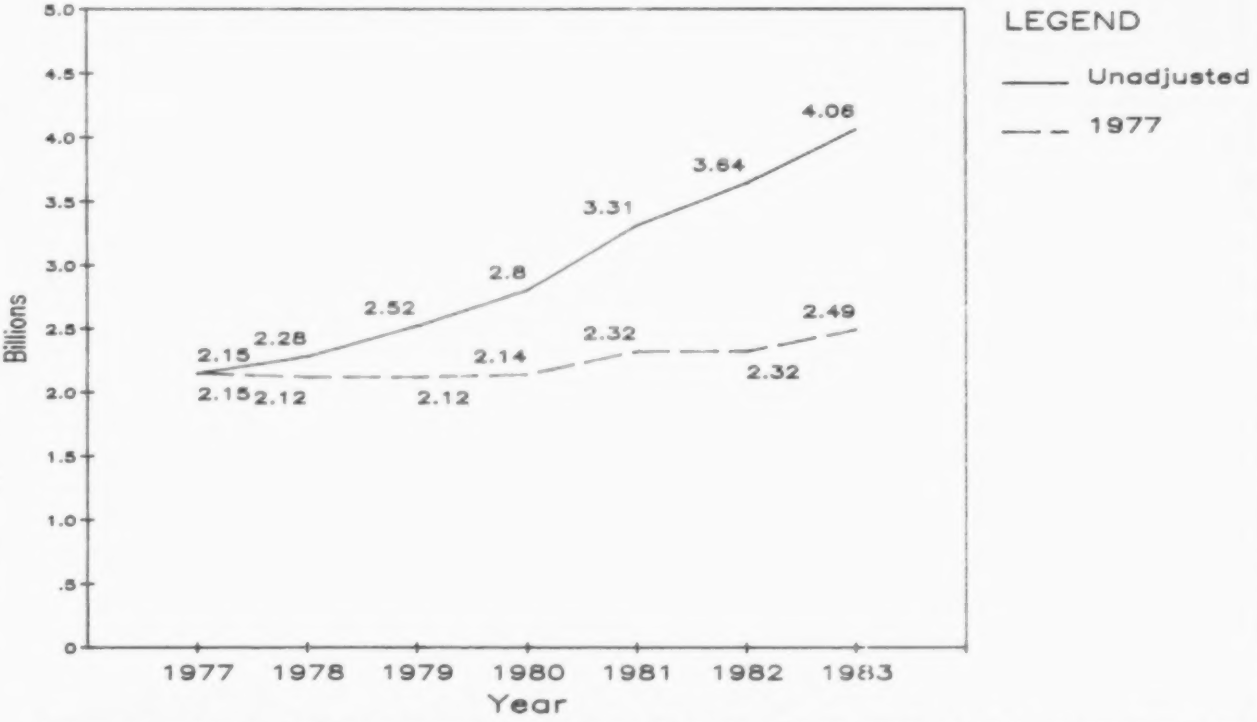
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

COLORADO

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget : FY 1977–1983



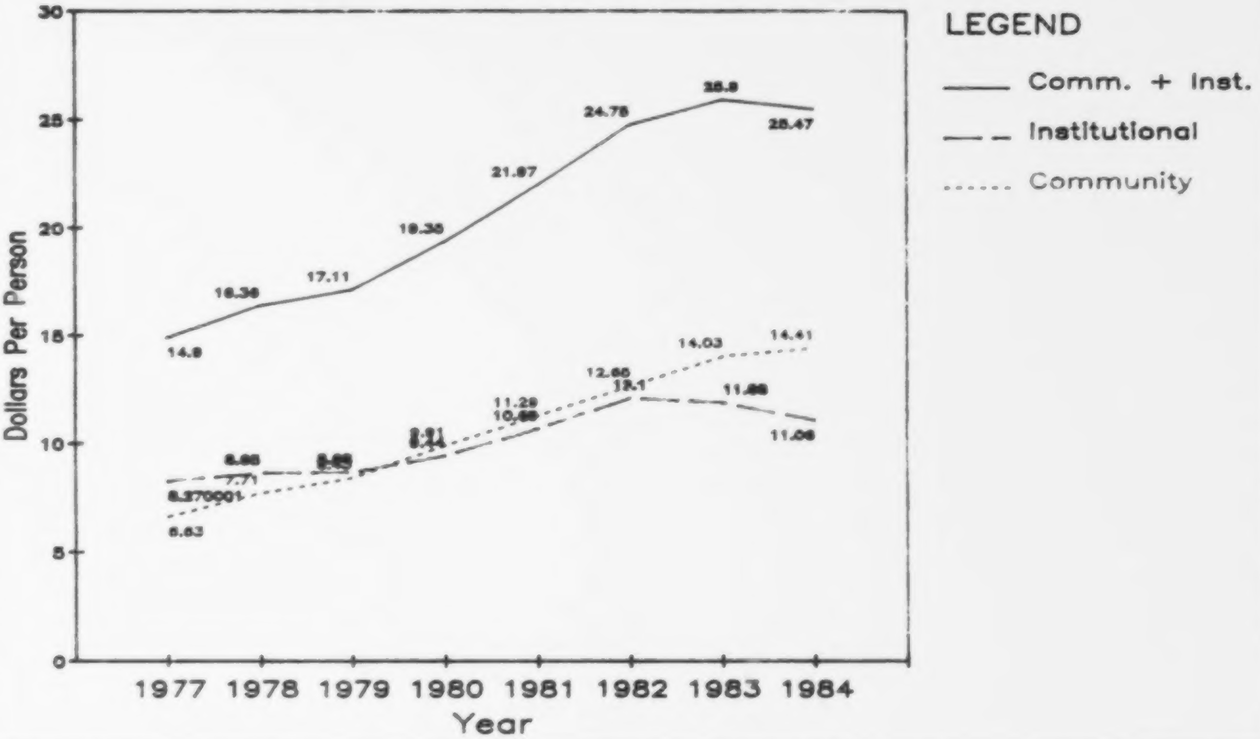
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



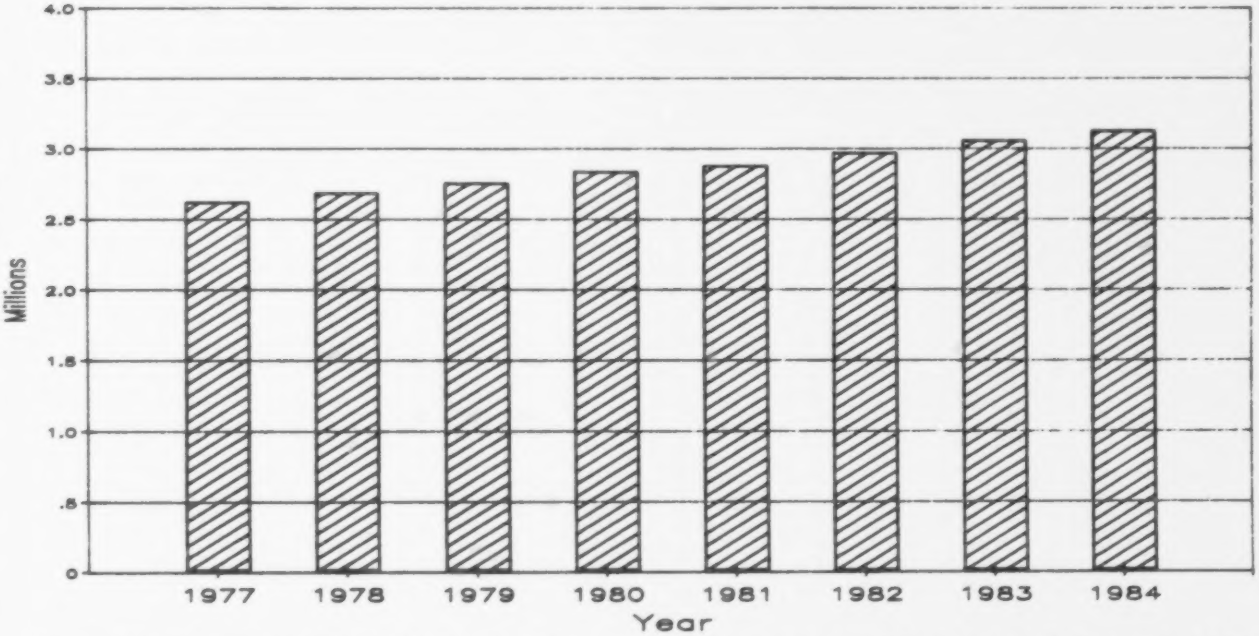
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

COLORADO

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

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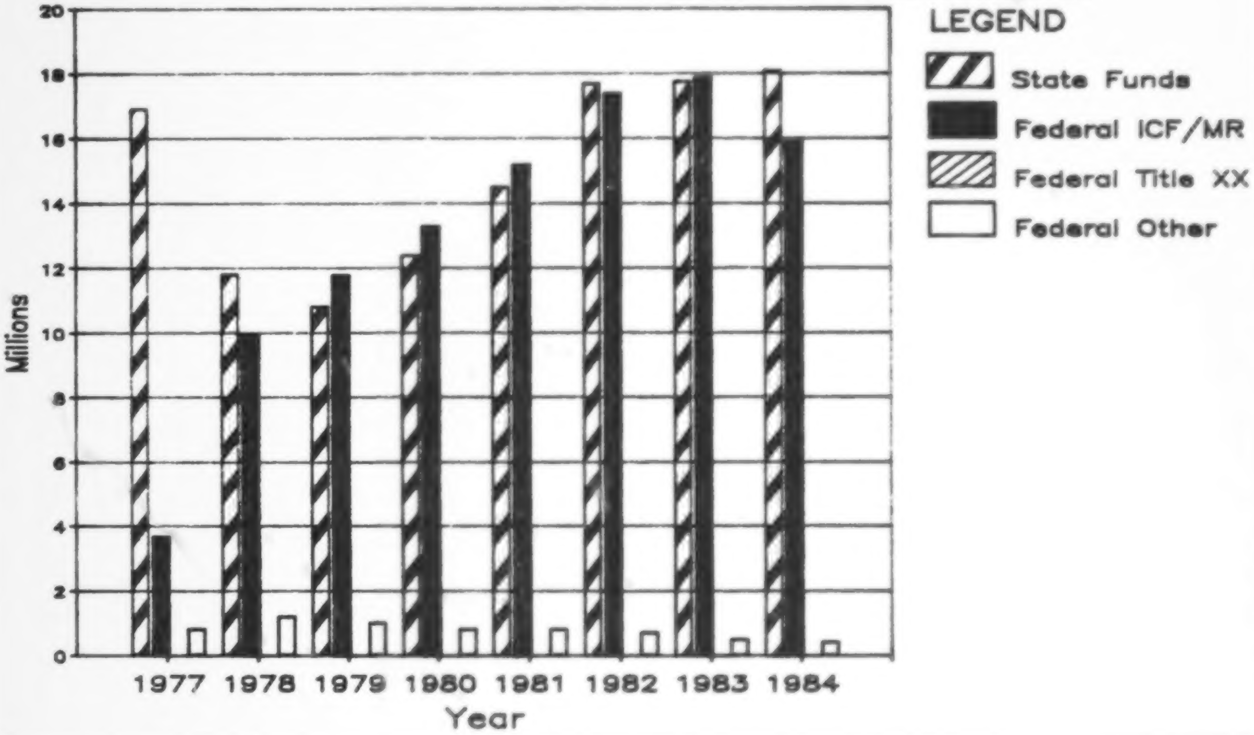
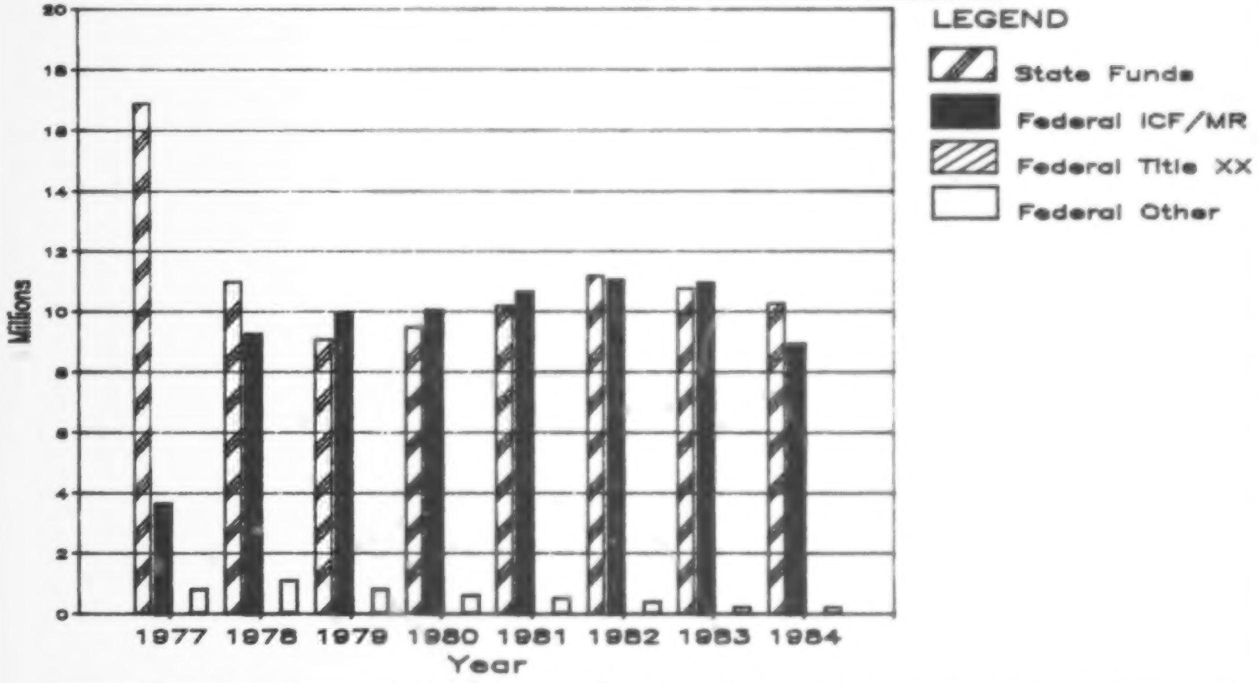
COLORADO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

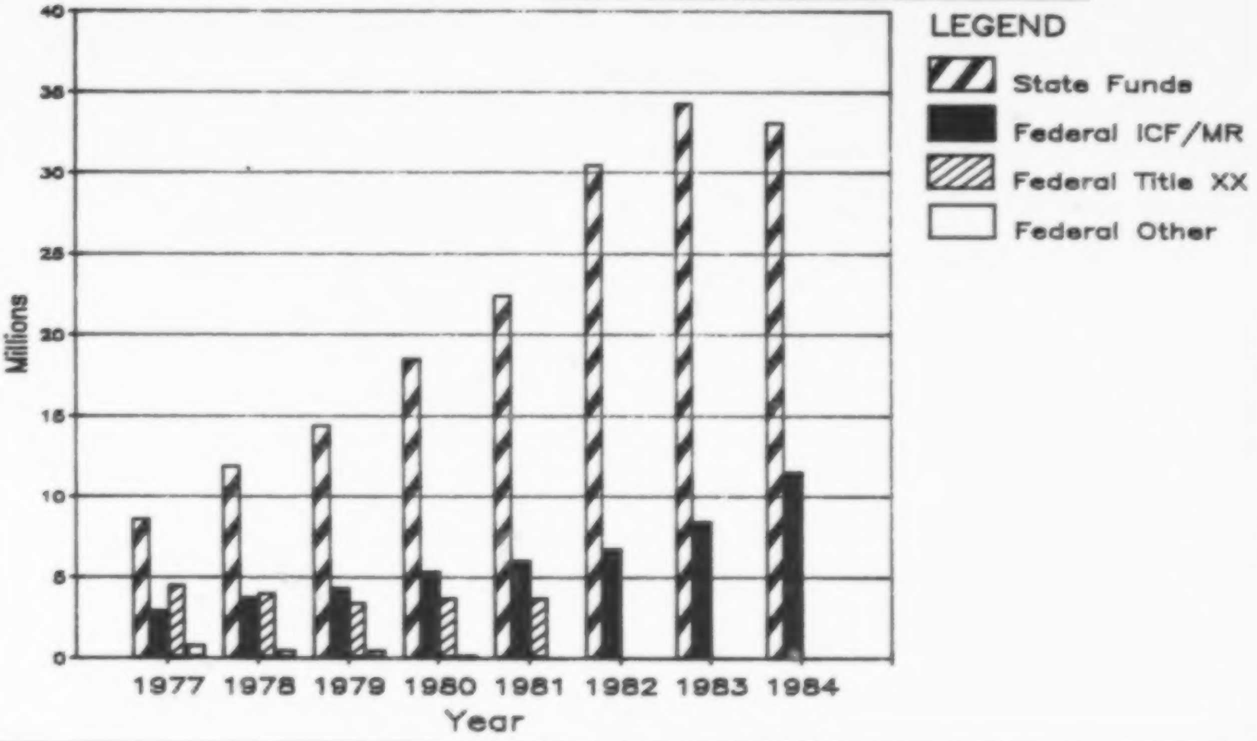


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

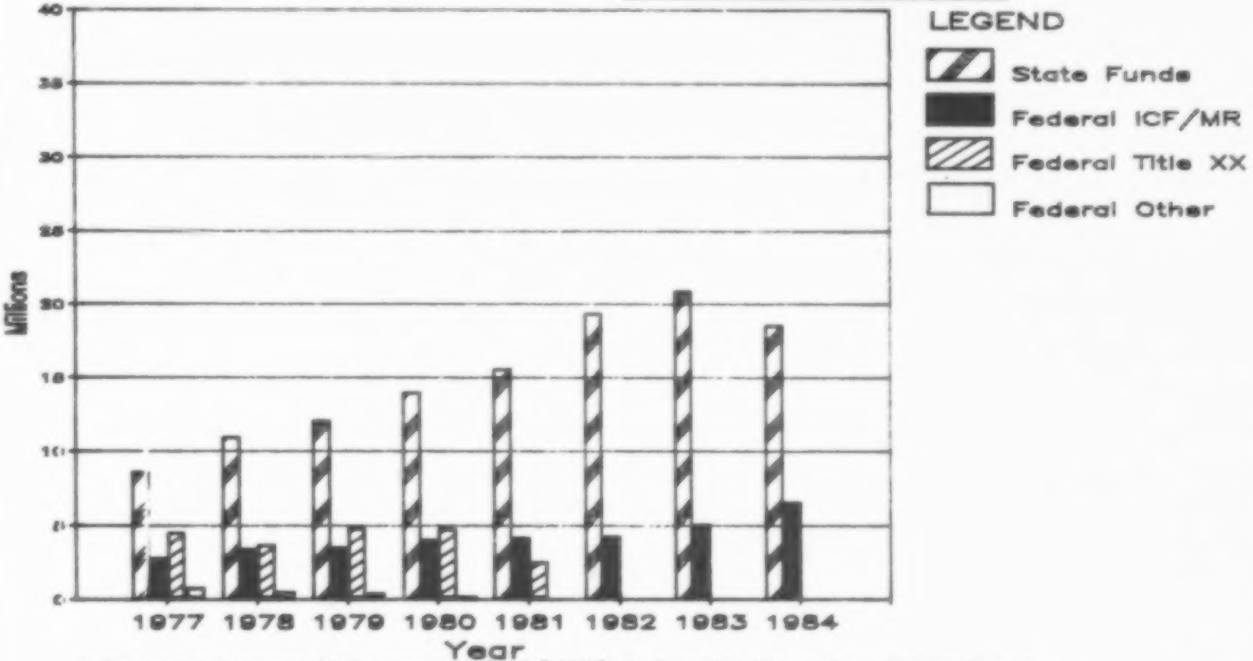
COLORADO

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



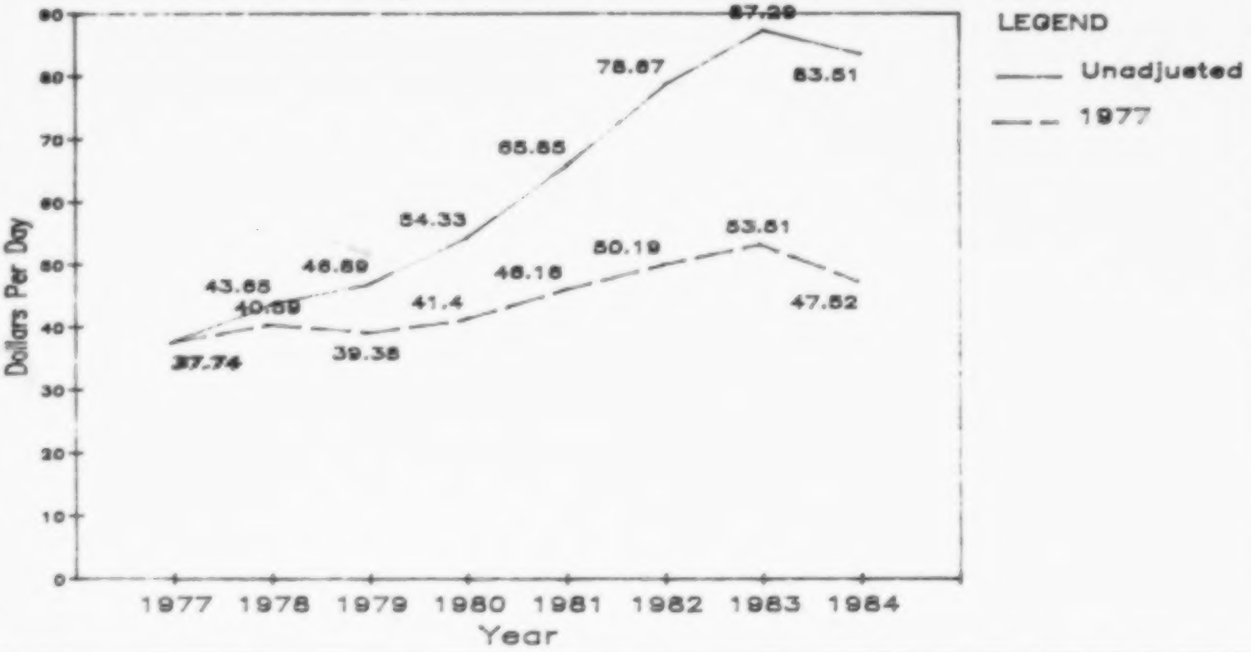
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

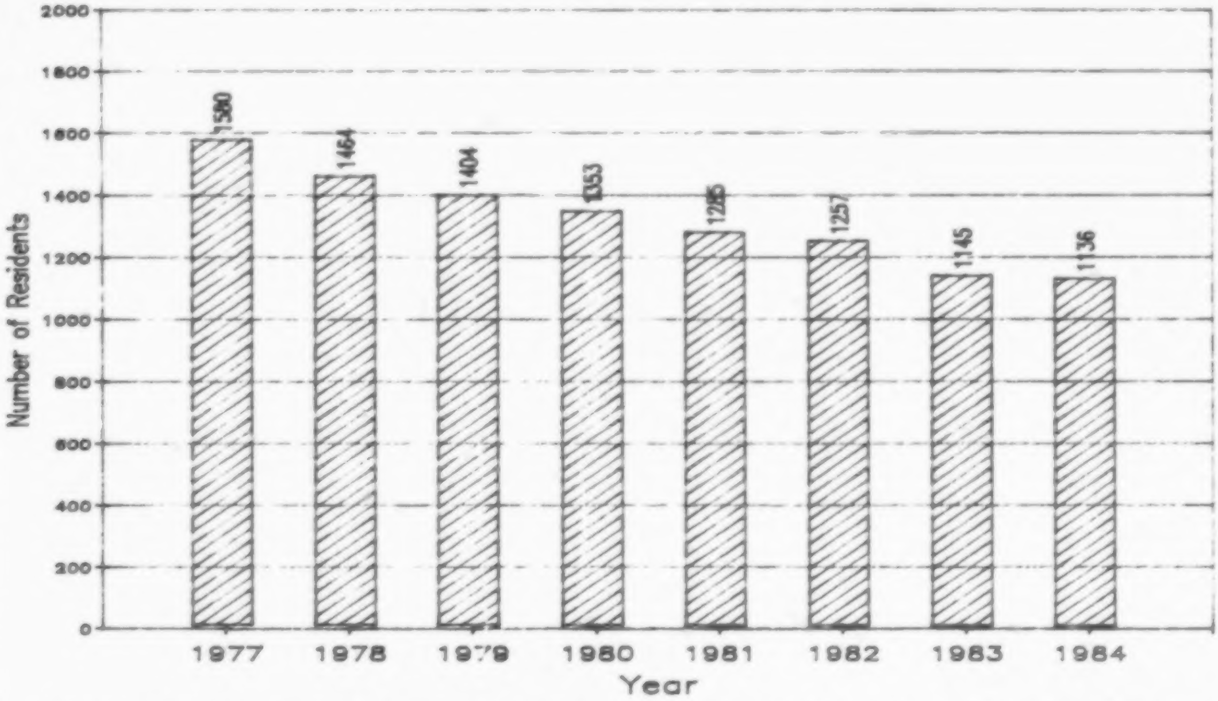
COLORADO

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

COLORADO

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: MR/DD services in Colorado are administered by The Division for Developmental Disabilities (established in 1961 as the Division of Mental Retardation and changed in 1974 to its present name). It is in the Department of Institutions.

2. Budget Format: After FY ‘78, the Executive Budget provides only the following expenditure detail:

   Department of Institutions
   - Executive Director
   - Mental Health
   - Youth Services
   - Developmental Disabilities
   - TOTAL
     - General Fund
     - Cash Funds
     - Federal Funds
     - Revenue Sharing/Title II.

   In the FY ‘83-84 budget, the funding source categories were the same, but the program lines for the Department changed to:

   - Central Administration
   - Community Services
   - Institutional Services
   - Detention Services

3. Note on Data Sources: Budget documents provided insufficient MR/DD expenditure detail. The Division for DD (Mary Ann Holtzinger, Budget Officer, Division for DD, correspondence 6/29/83) was contacted and sent the annual Legislative Budget Request documents. These contain not only background information, and narrative justifications for the next year's proposed activities and budget request, but also the actual expenditures for prior years. The Budget Request documents for FY ‘78-79, ‘79-80, ‘80-81, ‘81-82, ‘82-83 and ‘83-84 were inspected and actual expenditures for FY ‘77-82 were obtained from these documents. Revised expenditure figures were included for FY ‘83. FY ‘84 revised appropriation figures were provided by Mary Ann Holtzinger in a telephone interview, 9/5/83.

   The Legislative Budget Request document contains a number of budgetary forms called "Schedules." There is a separate form for each of the programs in the Division:

   - Division Administration
   - Community and Residential Programs
   - Institutional Programs/Grand Junction Regional Center
     - Pueblo Regional Center
     - Ridge Regional Center

   The Budget Summary, Schedule 2 form provides the following funding source breakdowns:

   - General Fund
   - Cash Funds
   - Federal Funds

   The Cash and Federal Funds Report, Schedule 4 (later changed to the Source of Financing--Direct Revenues, Schedule 4 form) provides further funding detail for the "Cash Funds" and "Federal Funds" categories, i.e., whether the source is Title XIX, Title XX or private donations, etc.

The "Cash Funds" category includes Medicaid (federal and state share), user fees, private donations and smaller state and federal programs such as Federal ESEA program, school lunch, and the state contribution for education.

The "Federal Funds" category represents small federal grants that flow directly to the Department of Institutions, such as funds for special projects. Using the Schedule 2 and Schedule 4 forms, federal funds were extracted from the "Cash Fund" and "Federal Funds" lines and classified in the analysis as Federal Title XIX, Federal Title XX, or Other Federal Funds as appropriate. Private donations and small state funded programs were classified as Other State Funds. The state share of Title XIX was added to the General Fund line.

II. INSTITUTIONAL SERVICES

4. There are three state institutions ("Regional Centers") in Colorado. They're located at Grand Junction, Pueblo, and Wheat Ridge. The aggregated population at these facilities has decreased and the Division reached full ICF/MR compliance in FY `83.

FY	Average Daily Institutional Census
1977	1,580
1978	1,464
1979	1,404
1980	1,353
1981	1,285
1982	1,257
1983	1,145
1984	1,136

(Source: Budget documents)

5. State General Funds. In addition to state monies explicitly appropriated as General Funds, the state share of Title XIX, which appears in source documents as "Cash Funds," has been included in this analytical category. Also, in FY `82 and `83, there were cash reversions ($486 in 82), and transfers ($406,097 in `82 and $961,471 in `83) which were deducted from the General Fund line. The large drop in General Funds between FY `77 and `78 is due to the influx of Title XIX federal funds, which supplanted the state funds.

6. Other State Funds include state funds for the Education Program (referred to as "ARB-Adjusted Revenue Base"--$624,00 in FY `83), and private donations.

7. Title XIX. As noted in Note 3, the federal share of Title XIX was identified as "Cash Funds," where it appeared as a gross amount (federal and state share combined). State/federal share matching rates were obtained from the Division for DD Budget Office (telephone interview, 8/15/83), and used to determine the federal and state shares.

   In FY `81 the institutions earned less Title XIX than was appropriated, so the gross Title XIX amount was adjusted by deducting $1,200,937, per telephone interview with M. Holtzinger 8/23/83.

8. Other Federal Funds include funds from several small federal programs identifiable under "Cash Funds" as well as the small amounts specifically reported under "Federal Funds" in the budget documents, e.g. ESEA, Title I, School Lunch, Donated Commodities, Library Grant and Deaf/Blind Programs.

III. COMMUNITY SERVICES

9. Community-based residential and day services are purchased by the state through a statewide network of 22 Community Centered Boards (CCBs) and three other private providers. Day services range from infant stimulation programs to vocational training. Residential services included

group homes (where a major funding source is SSI) and Medicaid funded facilities. The Medicaid facilities are divided into 4 classifications in Colorado:

Class IV (Institutions)
Class III
Class II
Class I

Class III was established in FY `83; it consists of small ICF/MR's. Classes I and II are private nursing homes. Class II homes are either DD or MH facilities. Class I are general nursing homes. Colorado completed a survey in 1982 which found 563 DD residents under age 65 (out of about 10,000 total residents) in Class I homes.

10. Federal Title XIX. FY `84 funds include Pilot Project/Medicaid Waiver funds for clients at risk of institutionalization. Included in the Waiver are 202 Adult Residential Services (ARS) beds, 97 Host Home beds (formerly all SSI-funded) and 392 class II nursing home beds (which will be converted to Class III) for a total cost of $19,905,320. Of that amount, $9,585,928 for the private ICF/MR (Class III) beds is presented in the Private ICF/MR line of our analysis (see footnote 13). Also, $2,817,000 of the total Waiver will be financed by local and client pay funds. That amount is carried as a non-add Local Funds item (data available on request)--see Note 14. The remaining Waiver amount, $7,502,392, is included in FY `84 figures for Community Funds. The state share ($3,603,630) is in the General Fund line; and the federal share ($3,898,762) is in the Federal Title XIX line.

11. Title XX was used in community programs only through FY `81. The state matching funds are included in the General Fund line.

12. Other Federal Funds from FY `77-80 are primarily ESEA Title I funds. The Department of Education now allocates these funds directly to the Community Centered Boards without being passed through the DD Division.

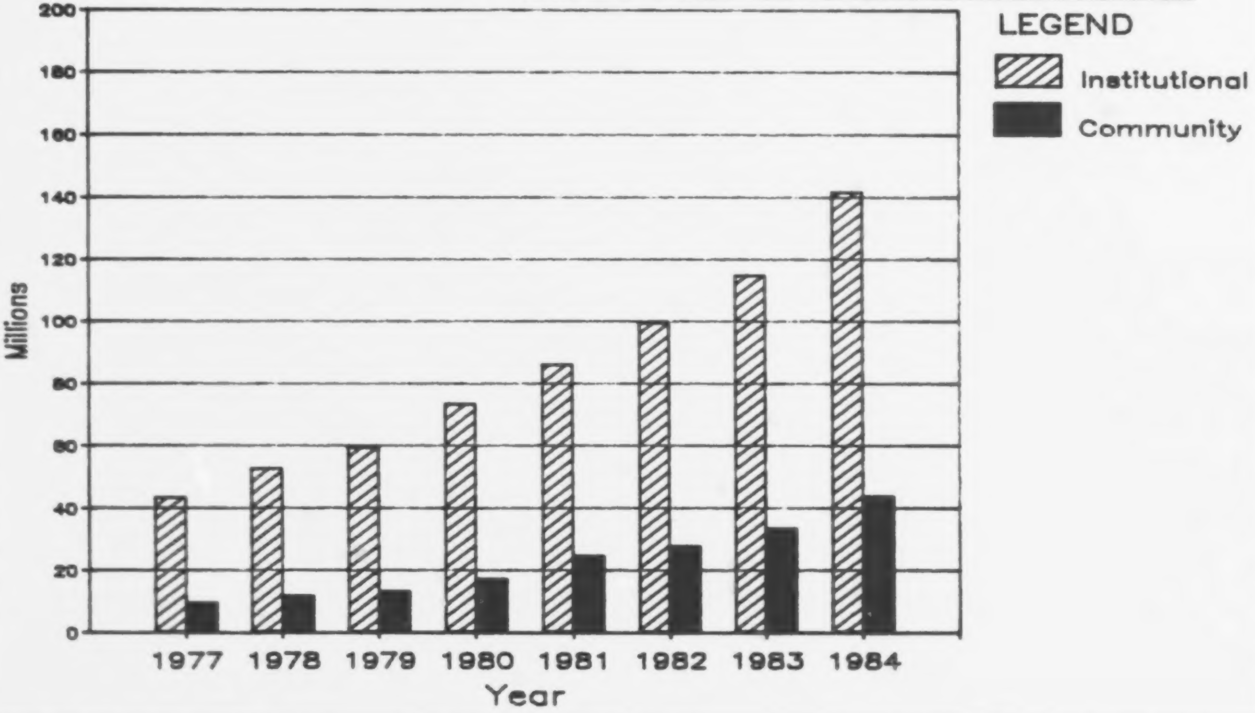
13. Private ICF/MR Starting in FY`83 all community-based private ICF/MR's were transferred from the budget of the Department of Social Services to the DD Division's budget, and classified as Class III homes (see Note 9).

Exact expenditures for private ICF/MR's were not available from DSS for the FY 1977-`82 period because fiscal data for all ICFs (excepting for the three state institutions) were lumped together in one category. FY `77-82 expenditures are estimates based on FY `83 actual figures. In FY `83, private ICF/MR's comprised 20% of all ICFs (Class I and II nursing homes). M. Holtzinger (telephone interview, 8/15/83) indicated that the population of clients served in these homes has been fairly static over the years (about 20%). Total ICF figures were provided by Bryan Golden (telephone interview, 8/23/83). FY `84 includes $9,585,928 which is part of the Waiver funds (see Note 10).

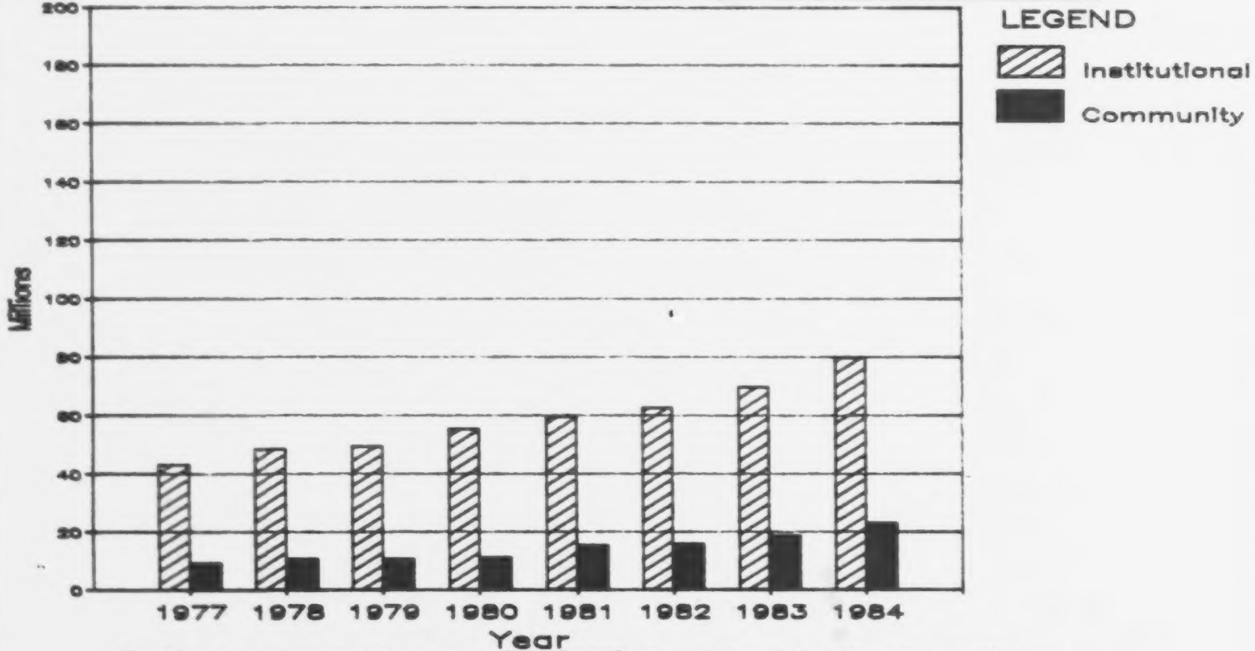
14. Local Funds. Colorado requires at least a 5% local match of state funds for community programs. These funds, which range from $3-6 million between FY 1977-84, are reported and/or footnoted in the state appropriation, but to promote comparability with other states, they are excluded from our analysis of Colorado data. Included in these local funds are the 5% matching money, local school district funds, and client (mostly SSI) income.

CONNECTICUT
STATE PROFILE

CONNECTICUT
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

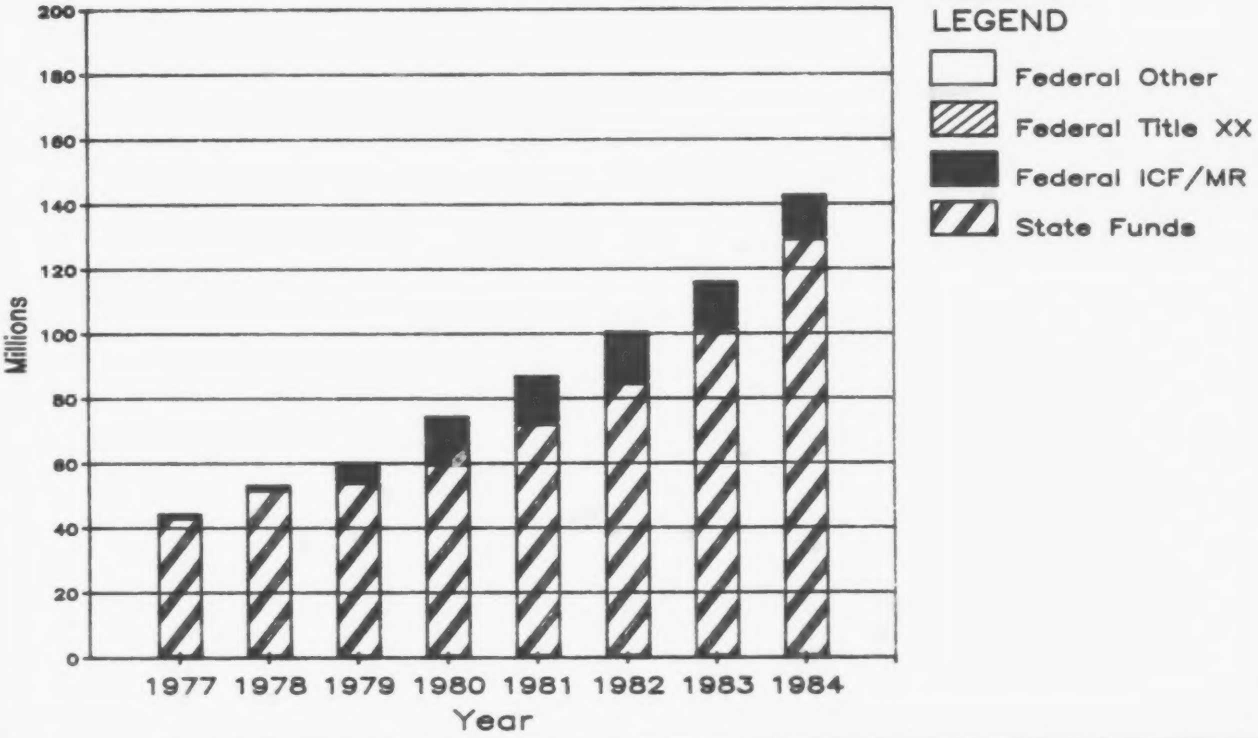


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

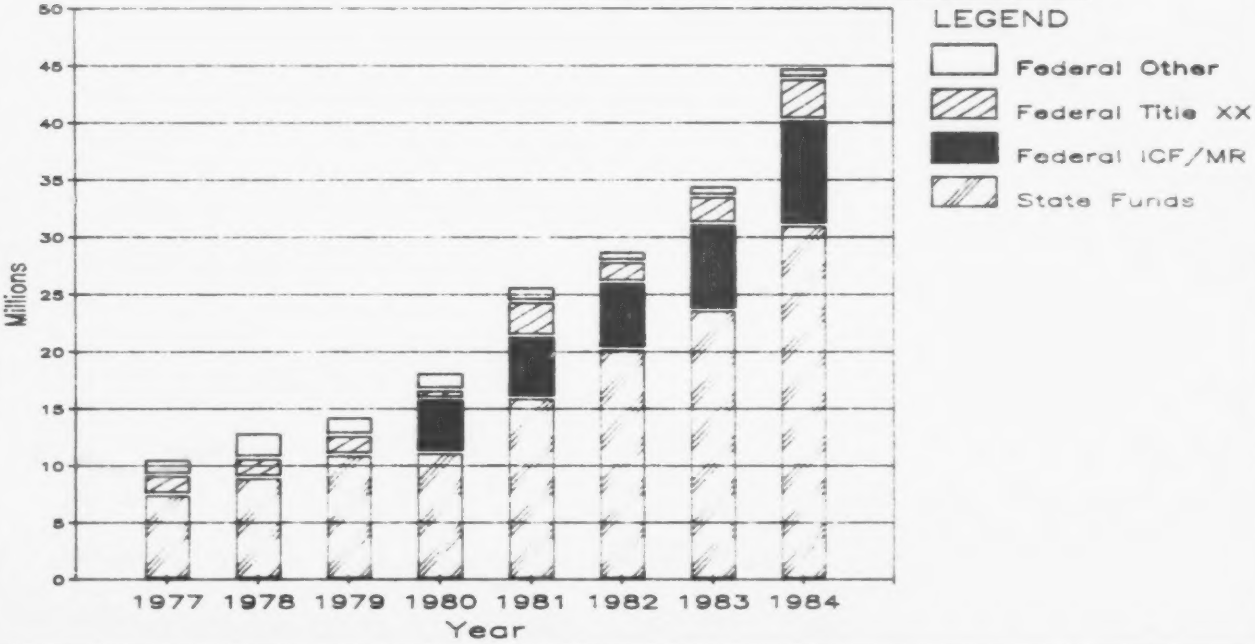
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

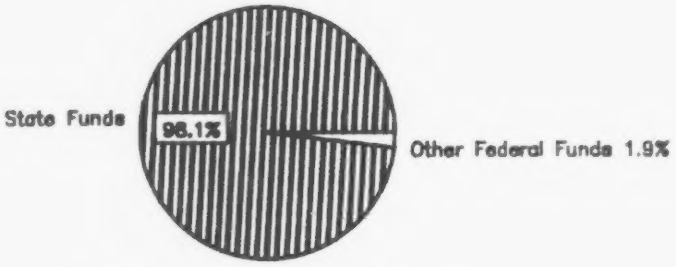
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



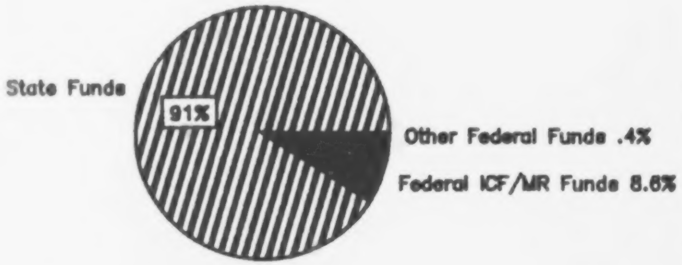
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



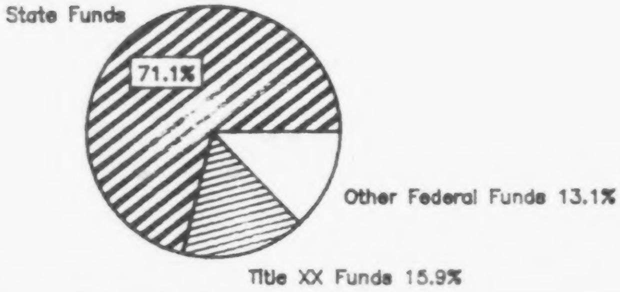
CONNECTICUT
MR/DD Expenditures for _Institutional_ & _Community_* Services: A Comparison of State and Federal Funding
FY 1977 & 1984



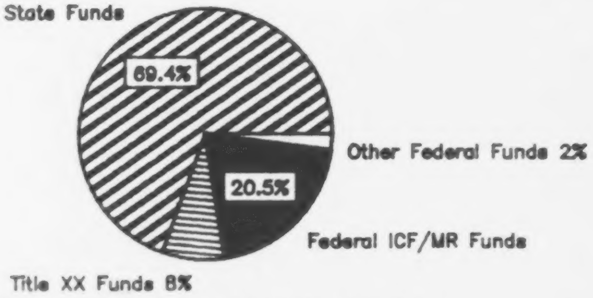
Institutional: 1977 Total Funds—$44.4 Million



Institutional: 1984 Total Funds—$143 Million



Community: 1977 Total Funds—$10.6 Million

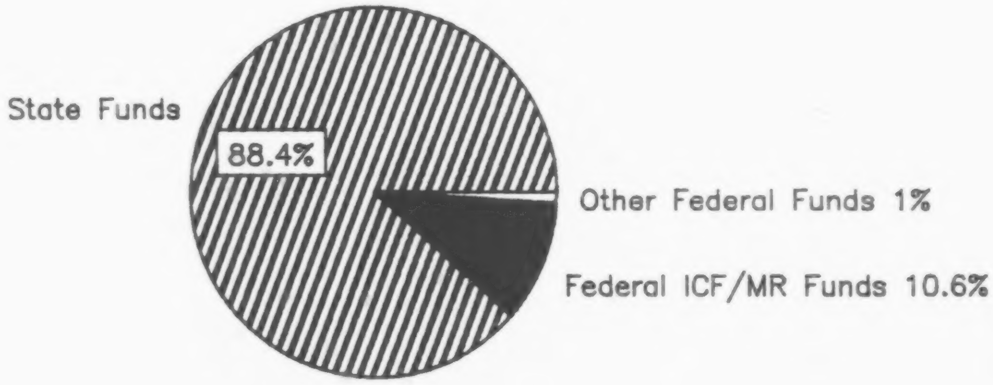


Community: 1984 Total Funds—$44.8 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

CONNECTICUT
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

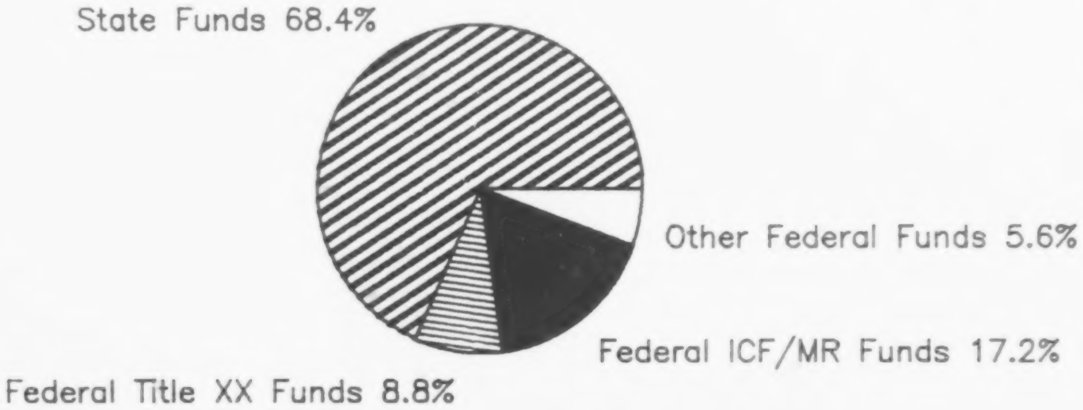
Institutional Services Funds



Total Institutional Funds: $678 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



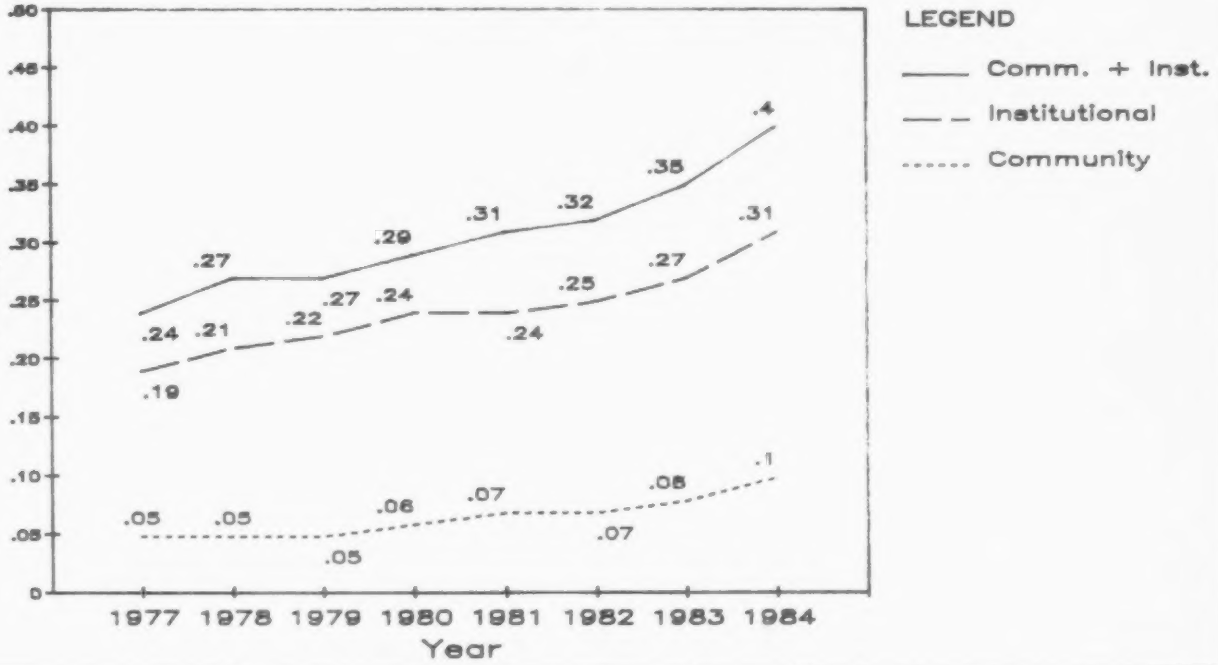
Total Community Funds: $190 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

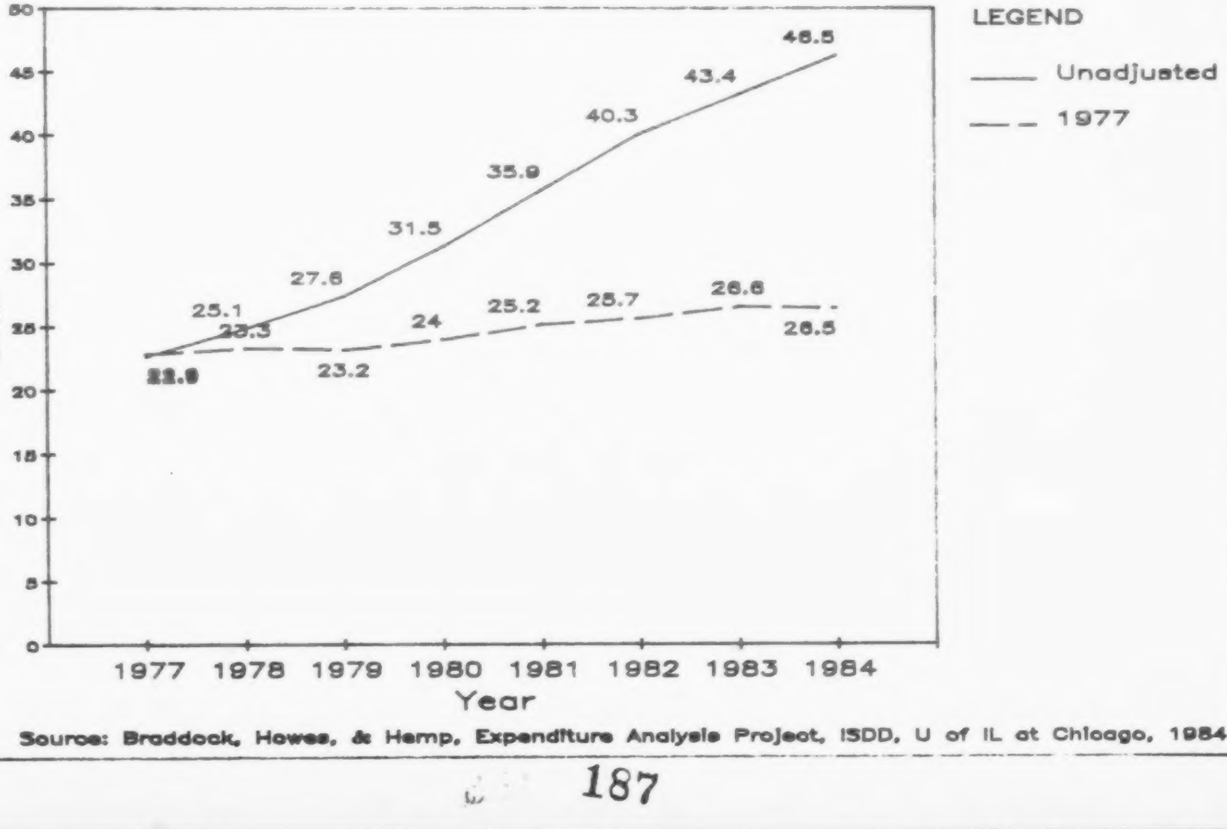
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

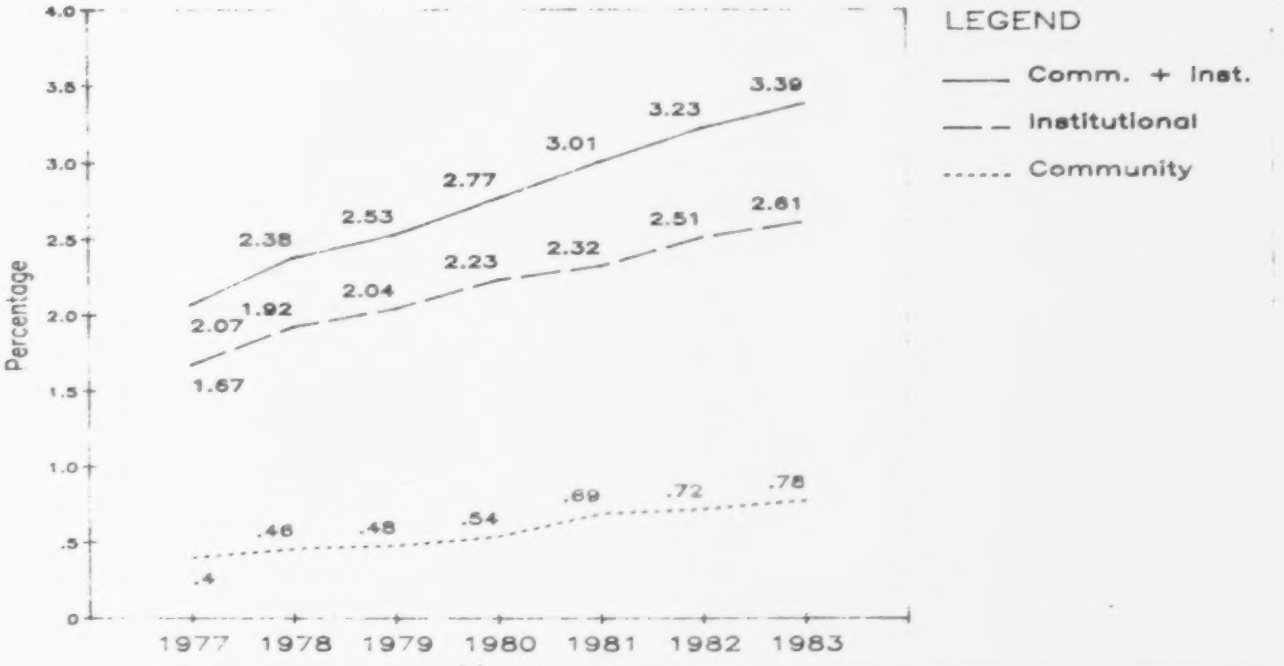
FY 1977–1984



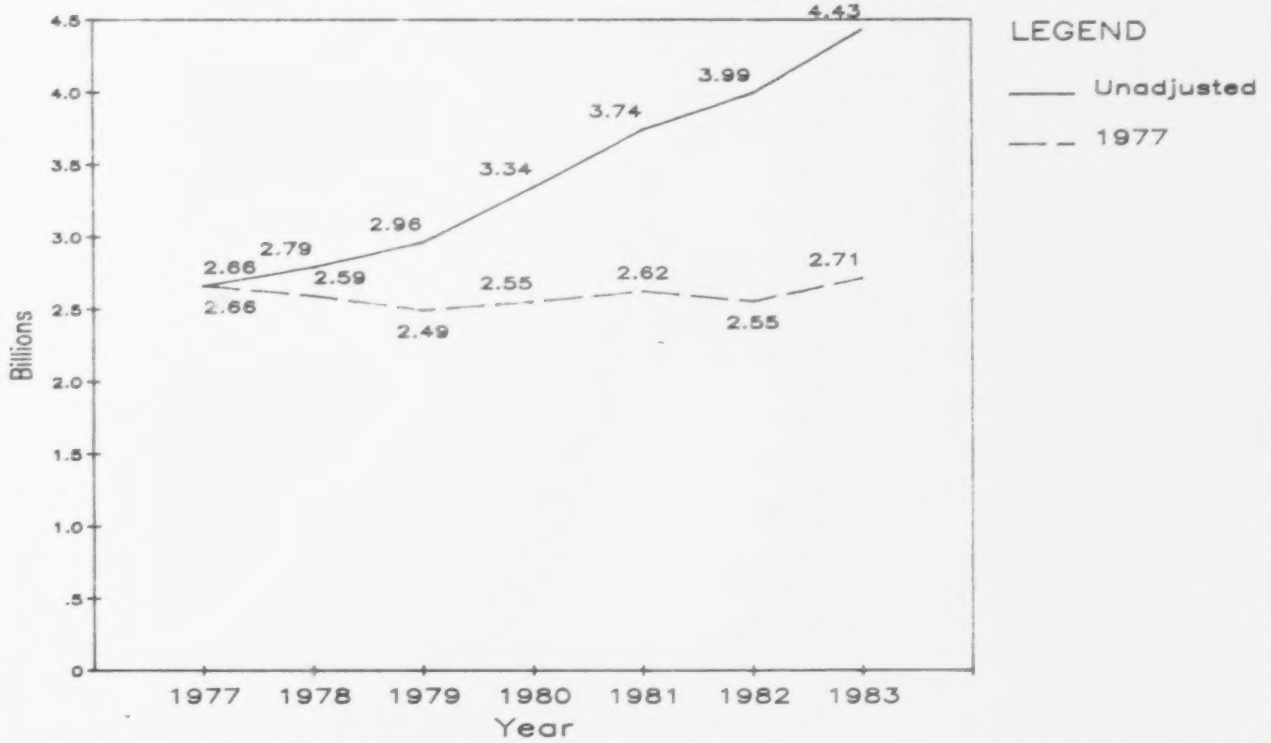
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



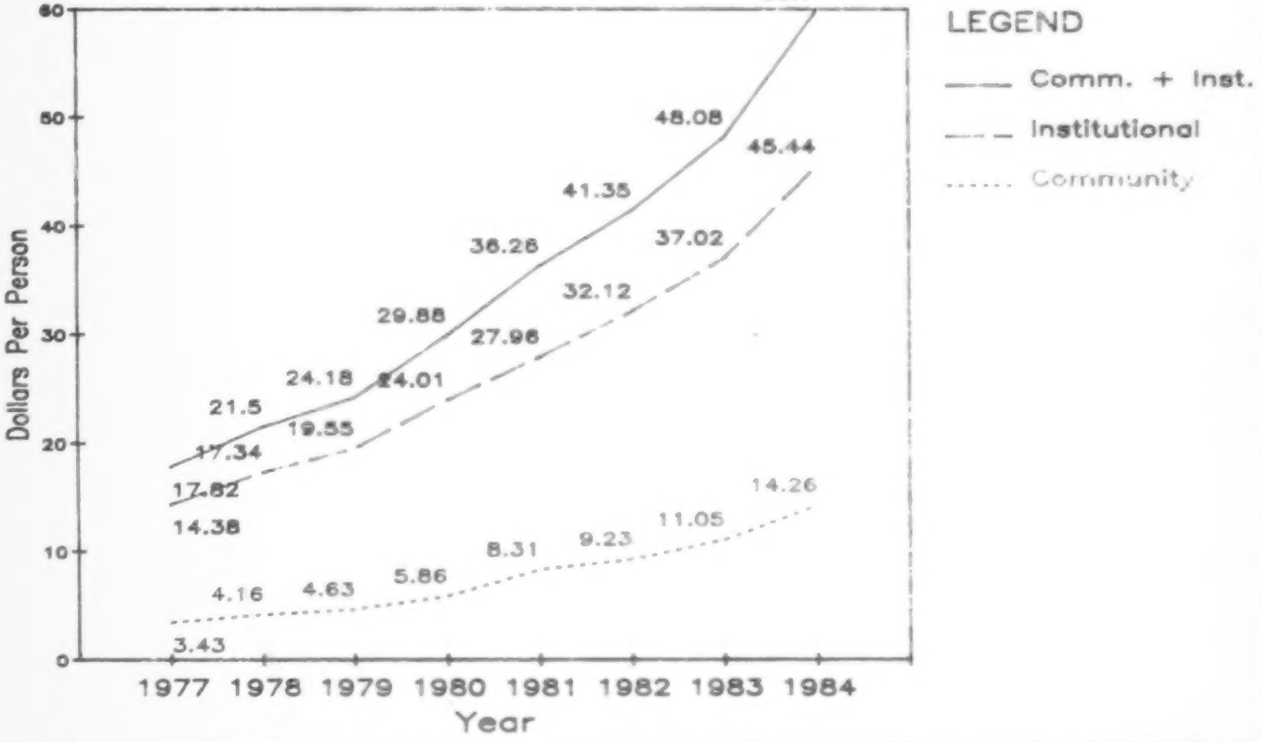
The Total State Budget Expressed in Unadjusted and 1977 Dollars: FY 1977–1983



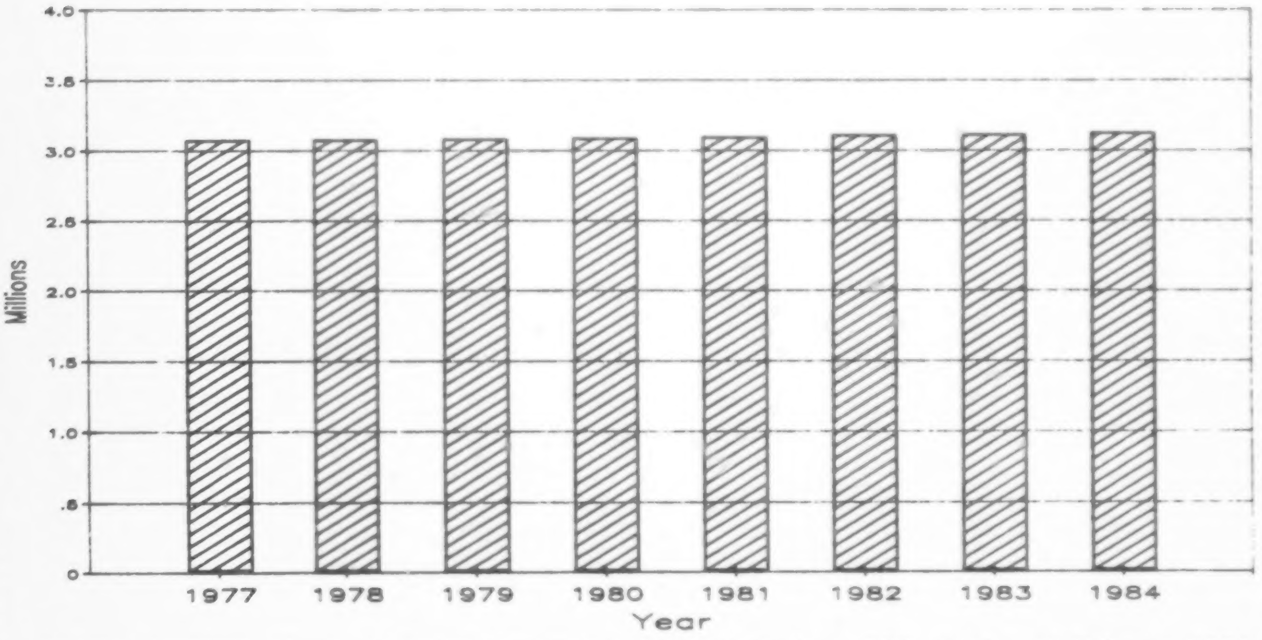
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



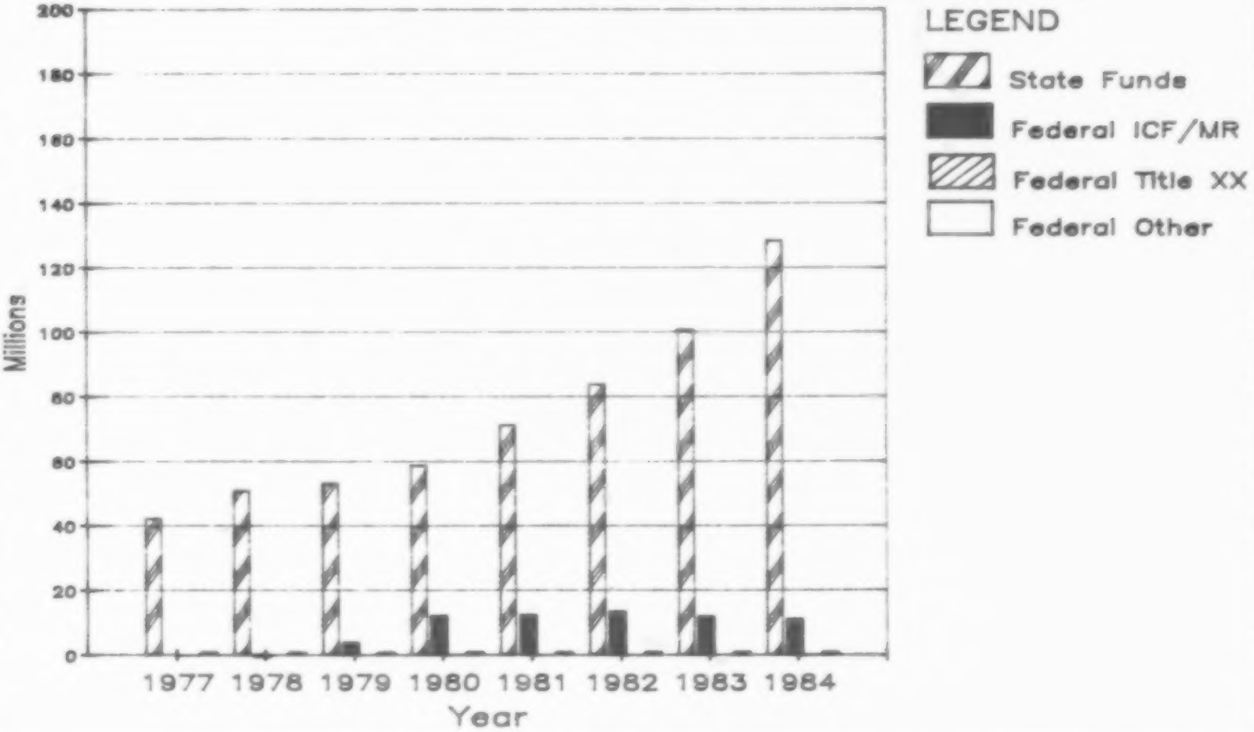
The Total State General Population FY 1977–1984



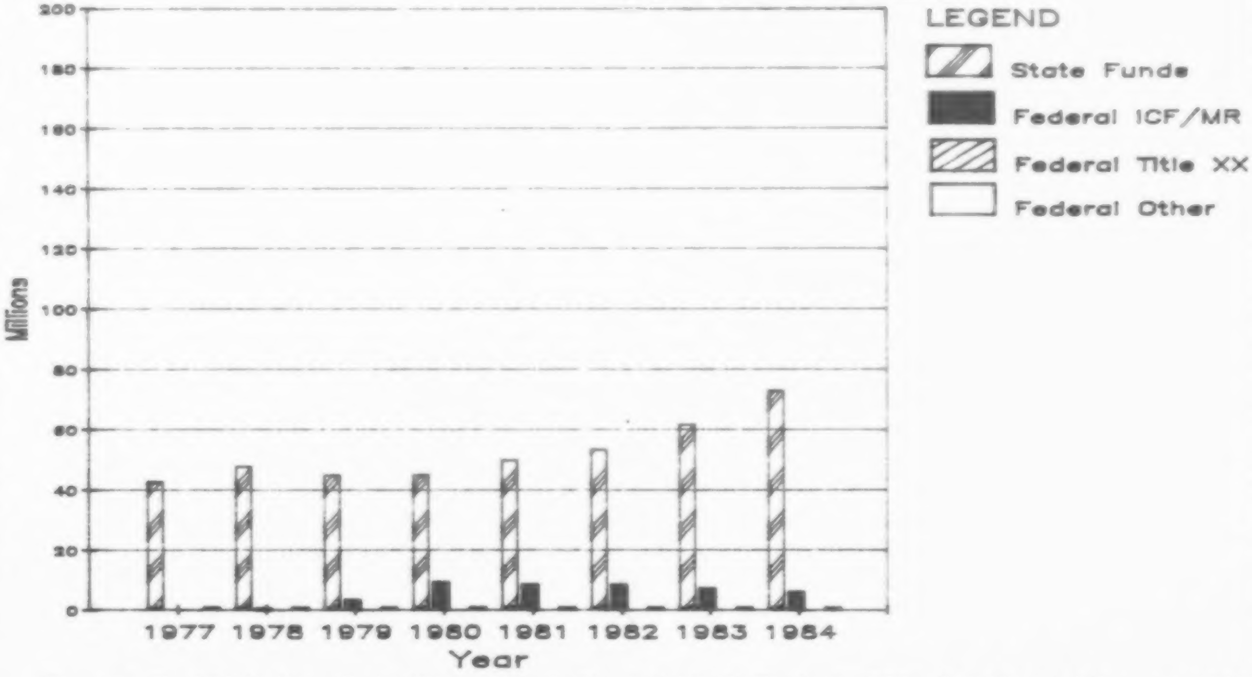
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

CONNECTICUT

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



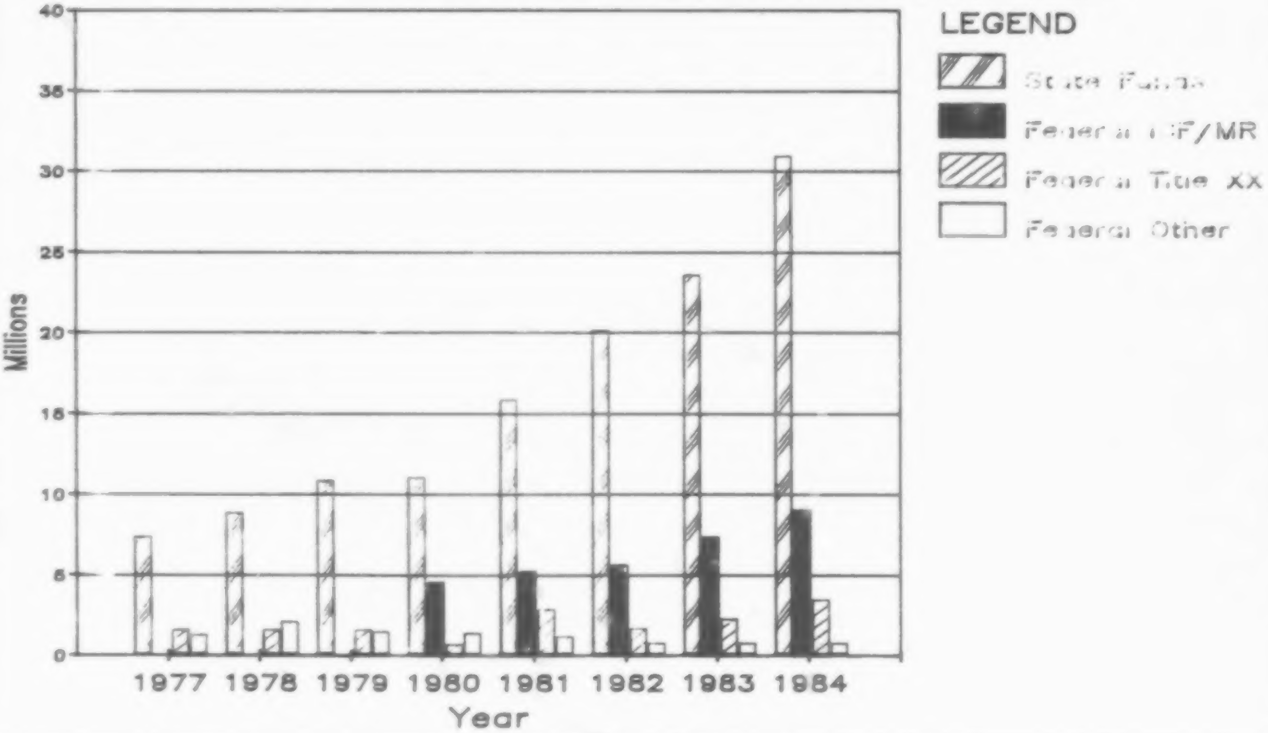
FY 1977–1984, *In 1977 Dollars*



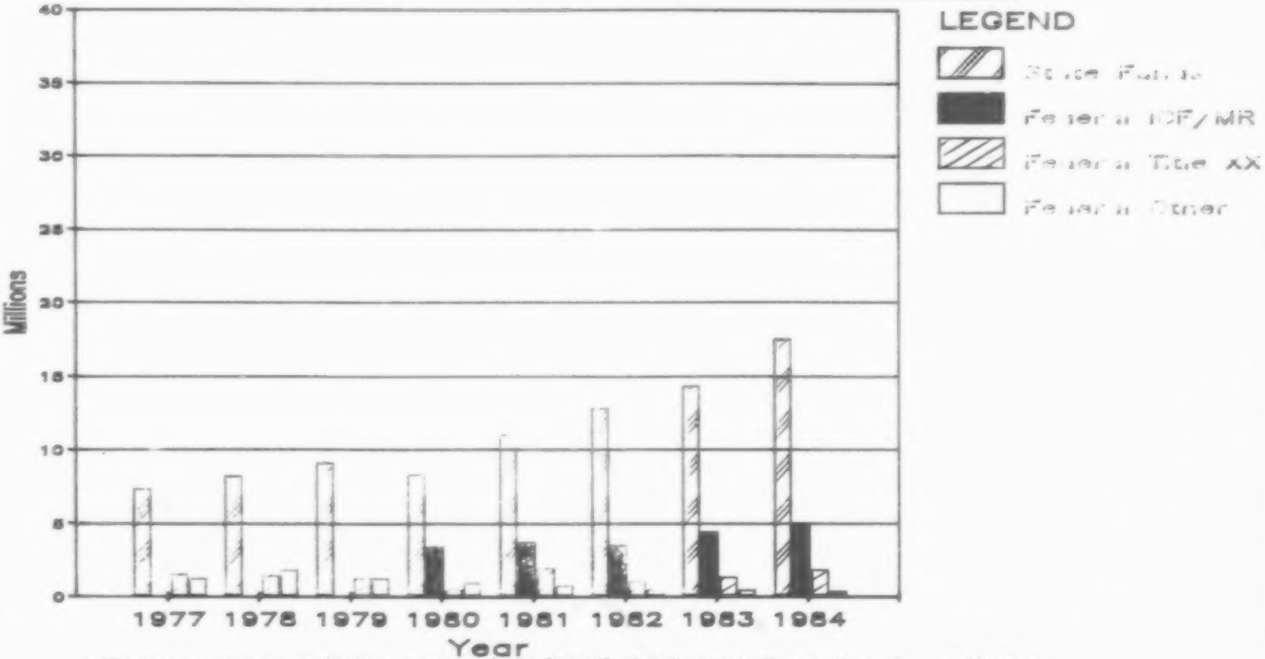
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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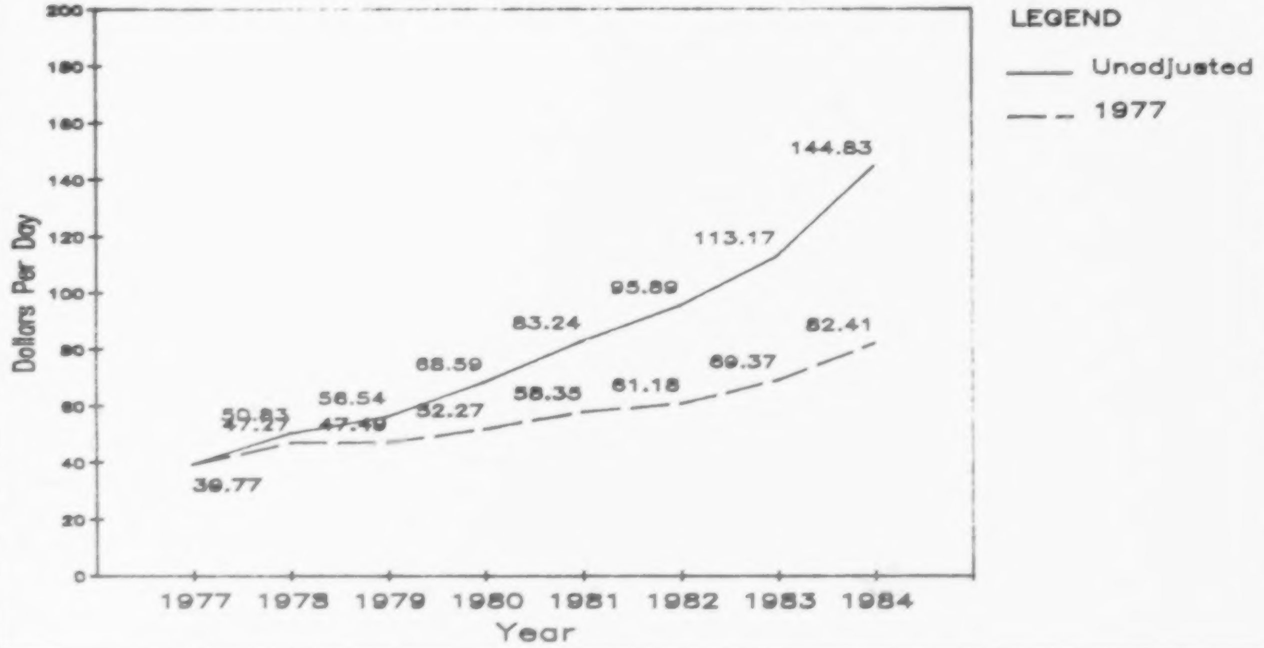
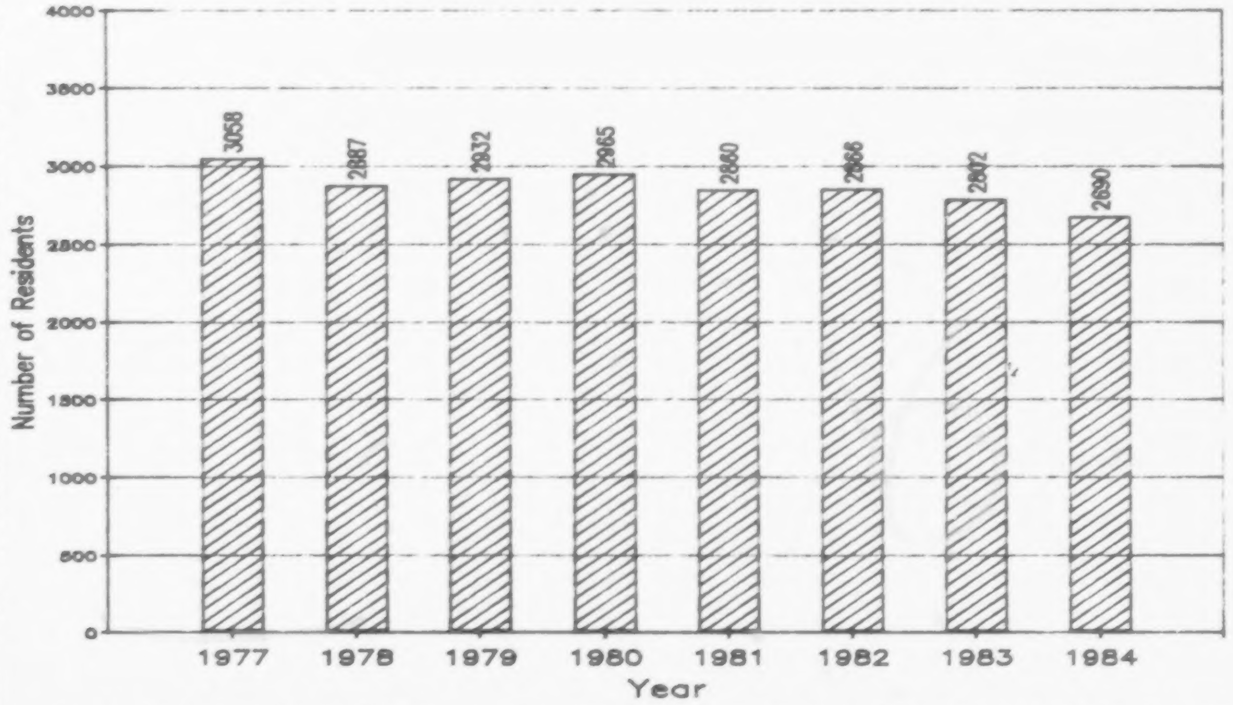
CONNECTICUT
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

CONNECTICUT

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Department of Mental Retardation (DMR) is a cabinet-level agency. In the "Governor's Budget" documents, DMR is under the general heading "Health and Hospitals"; however, according to Mr. Conrad Lemery, Chief, Administrative and Fiscal Services, DMR, this is for budget categorization and not related to administrative direction (telephone interview, 9/16/83).

2. Budget Format: The "Governor's Budget" document presentation was relatively consistent for FY `77 thru FY '84, providing Department of Mental Retardation totals, and "Expenses by Function" for each year as follows:

   - Department of Mental Retardation Total
     - Payments to Other Than Local Governments
     - Payments to Local Governments
     - Equipment, Capital Outlay
     - Federal Contributions
     - Private Contributions
   - Current Expenses by Function
     - Institutional Residence Program
     - Group Home Program
     - Education and Training Program
     - Community Programs
     - Health and Rehabilitation Services
     - Administrative and Support Services
     - Central Office

3. Note on Data Sources: "Governor's Budget" documents for budget years FY `79, FY `80 , FY `81, FY `82, FY `83 and the "Legislative Office of Fiscal Analysis" (L.O.F.A.) Budget Report for 1983/84 were reviewed. These documents provided "actual" expenditure figures for FY `77 through FY `82; an "estimated expenditure" figure for FY `83; and an "appropriation" for FY `84.

   In a phone interview (10/28/83) with Mr. Richard Fraser, Administrative and Fiscal Services, DMR, it was indicated that there are fourteen "agencies" which serve as budget centers (two state training schools--Mansfield and Southbury--and twelve regional centers). Fraser indicated that our Project's attempts to develop a Community/Institutional analysis would be difficult in that their budget accounting does not treat expenditures in this manner.

   Our analysis utilized the "Expense by Function" categories from the Governor's Budgets, and sought Connecticut officials' judgements about what percentage of each function was "Community" or "Institutional," concluding the following:

EXPENSE FUNCTION	INSTITUTIONAL PERCENTAGE	COMMUNITY PERCENTAGE
Institutional Residence Program	100 %	----
Group Home Program	10 %	90 %
Education and Training Program	41.5 %	58.5 %
Community Programs	----	100 %
Health & Rehabilitation Services	25 %	75 %

   These percentages were applied to the expenditure figures for each function, for each year, resulting in subtotals for FY `77 - FY `84. We then looked at the two remaining expense functions (Administrative and Support Services and Central Office). The former was apportioned (90% Institutional Services) and the latter was excluded from the Analysis, consistent with the study's general definitions. Finally, we obtained Title XIX ICF/MR Federal reimbursement figures from the Bureau of Collections Services, Department of Income Maintenance to apportion between Institutional Services and Private ICF/MR; and, we obtained Title XX (Social Service Block Grant) Federal receipt figures from DMR (all revenues from Title XX were for Community Services).

These results were mailed to Connecticut DMR officials on 12/23/83, and in a 2/3/84 phone interview, Richard Fraser (Administrative and Fiscal, DMR) indicated that: a) fringe benefits for employees were not included; b) the allocation between Community and Institutional Services that we had utilized was not consistent with the Comptroller's calculations for Federal reimbursement per diems; and, c) ICF/MR reimbursements should be indicated for the State-operated group homes.

To assist in correcting the figures, Fraser forwarded copies of the FY `81 and `82 Comptroller's expenditure work sheets (containing fringe benefits at a level of 30-40% of total personal services costs) which had been utilized by the Comptroller's Office to calculate FY `82 and `83 per capita costs in DMR.

We utilized these two sample years (`81 & `82) along with the information already obtained from Connecticut annual budgets, to develop a <u>revised</u> Analysis.

The following summary indicates the analytical steps taken to integrate expenditure figures from the Comptroller, the Governor's Budget, and other sources into the format of this analysis:

Step 1. The Comptroller's worksheets (for FY`81 and FY `82) provided "adjusted total" expenditures for each of the 14 agencies within DMR. These were summed (aggregated) with the exception of the "Central Office" costs, resulting in a total of $101,128,000 for FY `81.

Step 2. The Comptroller's allocation of this adjusted total on the worksheets (example is FY `81) is ($`s in thousands):

"Inpatient"	$ 69,647.0
"Group home"	7,463.0
"Education & Training	17,947.0
"Out patient"	4,735.0
"Other"	1,336.0
	$101,128.0

Step 3. From this FY `81 Comptroller's Worksheet, the "Education and Training" and "Other" expenditures were allocated to the remaining three elements ("Inpatient," "Group Home" and "Outpatient") based on the relative budget share of each; that is, these three components total $81,845,000; and, for example, "inpatient" (at $69,647,000) is 85.1% of this total. When 85.1% is applied to the combination of "Education and Training" and "Other" (at $19,283,000), the resulting $16,410,000 is then added to $69,647,000 for a new inpatient figure of $86,057,000. Following this process the new "group home" figure for FY 81 becomes $9,220,000; outpatient becomes $5,851,000.

(Note: This Comptroller's worksheet had included "building depreciation," "bond interest," and "Central Office distribution." These expenses were excluded from the analysis, consistent with the Study's general definitions.)

Step 4. The Governor's Budget books had provided "expense by function expenditure figures for FY `77-FY `84 (not including employee fringe benefits). Therefore, we extrapolated to FY `77, FY `78, FY `79, FY `80, and to FY `83, FY `84 based on: a) The Comptroller's worksheet figures for `81 & `82 (as we had reallocated in step 3 above) and b) the "expense by function" figures from the Budget Books.

Example of Extrapolation:

- The `81 and `82 Comptroller figures for "inpatient" are in ratio to the Budget Book "expense by function" figures for those years as follows.

	FY `81	FY `82
Budget Book "Institutional Residence Program"	$30,090,100	$34,386,900
Comptrollers "Inpatient"	$86,056,800	$99,727,000
Ratio: Budget Book/Comptroller	.3497	.3448

- The average of these FY `81 & `82 ratios is: .3475
- This ratio was then applied to each year's "Institutional Residence Program." For example, the Budget Book figure for FY '84 is $49,342,900 for "Institutional Residence Program." Dividing by the ratio factor (.3475) produces an FY `84 extrapolation for "inpatient" (with fringe) of $141,994,000.
- The ratios of "Budget Book/Comptroller" for the other two elements ("community program"/outpatient and "group homes"/group home) were likewise extrapolated to FY `77 through FY `80 and to FY `83, FY `84.

Step 5. It was then necessary to determine what portion of the "Group Home" expenditure figure for each year was Federal Title XIX. Since the Federal/State Match for Connecticut for all years is 50% Federal, we took 50% of the "Group Home" figures for FY `80- FY `84 (we judged that the phasing-in group home program during FY `77 - FY `79 was not receiving any significant amount of Title XIX reimbursement).

Step 6. This 50% of "Group Home" expenditures for these years was included in the FY `80-FY `84 analysis as Community Services Title XIX (Federal). The remaining 50% of "Group Homes" figures (FY `80 - FY `84) and the total (FY `77 - FY `79) were added to:

- "Out patient" (from Step 4 above)
- "Payments to Other Than Local Governments" (from the Governor's Budgets)
- "Payments to Local Governments" (Governor's Budgets)

The resulting sums for each year were then entered in the Analysis as Community Services General Fund.

Step 7. We received Connecticut's total Federal ICF/MR figures from the Department of Income Maintenance (see Note 7 below), and these figures represented all Federal revenue (for Institutional Services, for Group Homes and for Private ICF/MR). Therefore we calculated Institutional Services Title XIX funds by subtracting (for FY `80-`84): a) Group Homes Title XIX expenditures as calculated in Step 6 above, and b) Private ICF/MR Federal Title XIX - see Note 12 below.

Step 8. Finally, having thus calculated what amount of Title XIX ICF/MR Federal revenue should be attributed to Institutional Services (Institutional Services Title XIX), we then subtracted this figure (for each year FY `77-FY `84) from the "Inpatient" figures derived from the Comptroller's Worksheets and Governor`s Budgets (Step 4 above).

This methodology enabled us to impute what portion of Institutional Services expenditures was Federally-reimbursed, and what portion was net state funds, to be included in the Institutional Service General Fund category of our analysis.

Summary: These eight steps described how we utilized Comptroller's Worksheets with employee fringe benefits expenditures included to calculate Institutional and Community funds deployed for FY `81 and FY `82. The steps further indicate how we used these ratios of Comptroller's/Budget Book figures to impute to the remaining years: FY `77-FY `80 and FY `83- `84. The above description also indicates how Title XIX revenue figures from a source outside DMR were allocated to Community and Institutional services.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the apportioned expenditures which have been calculated for the two state training schools and the Institutional Residence portions of the 12 regional centers.

The aggregated average daily in-residence population at these facilities (as indicated in budget documents) has been:

FY 1977 - 3,058
FY 1978 - 2,887
FY 1979 - 2,932
FY 1980 - 2,965
FY 1981 - 2,860
FY 1982 - 2,866
FY 1983 - 2,802
FY 1984 - 2,690

5. State General Funds. See the detailed explanation within Note 3 above, and especially the explanation in Step 8.

6. Other State Funds consists of expenditures reported in the Governor's Budget documents as "private contributions."

7. Title XIX consists of a portion of the Federal Title XIX ICF/MR figures reported 11/7/83 by Carl Nugebauer, Bureau of Collections Services, Department of Income Maintenance. See Note 3 above, particularly Steps 7 and 8.

8. Other Federal Funds. The L.O.F.A. Budget Report (FY '84) (referenced in Note 2 above) indicated on page 204 that the "Federal Contributions" in FY '84 consisted of: Developmental Disabilities Program ($486,500); Supplemental Education Services Grant (Title I) ($419,800); Maternal & Child Health ($119,600); Medicaid Utilization Review ($134,100); Rehabilitation and Training ($199,600); Vocational Education ($40,500); and Handicapped Innovative Program ($18,700) for a TOTAL of $1,468,800. We judged that Title I and Medicaid Utilization Review are Institutional Services (at $553,900, or 38% of the $1,468,800 total). Therefore this FY `84 percentage is utilized in each of the other years of the analysis to apportion "Federal Contribution" figures between Community and Institutional Services.

III. COMMUNITY SERVICES FUNDS

9. Community Services consists of State General Funds, as calculated in Note 3, Step 6 above; Title XX; a share of Other Federal Funds as indicated in Note 8 above; and a share of Title XIX Federal revenue, as calculated for State-operated Group Homes--Note 3, Step 6.

10. Title XIX. Note 3, Step 6 above indicates how 50% of the expenditures for State-operated Group Homes was determined to be Title XIX revenue for Connecticut DMR's Community Services, for FY `80-`84.

It was indicated (phone interview, 11/8/83) by John Campion, DMR Community Program Office, that an application for the Community Care Waiver is pending; in addition, he reported that there have been Title XIX Medicaid (Non-ICF/MR) Clinic Day Programs for MR/DD clients. These figures are not included at this time in our analysis.

11. Title XX consists of estimated figures reported by John Campion (telephone Interview, 12/12/83).

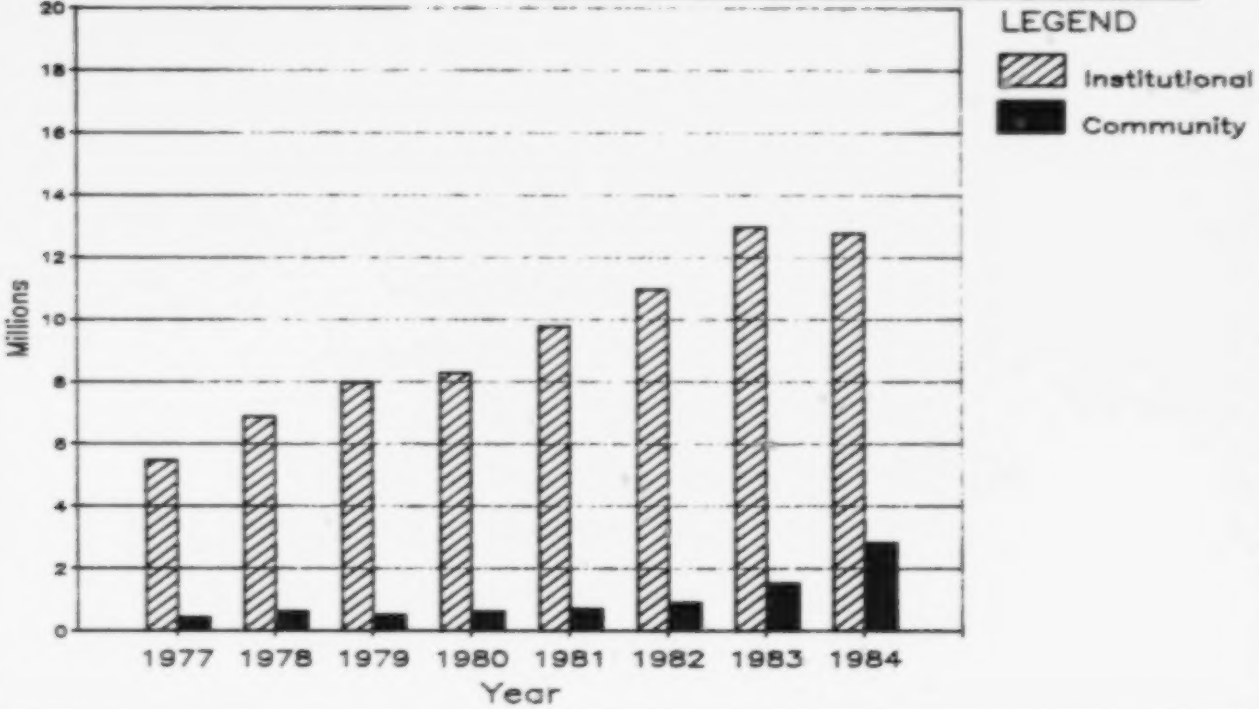
12. Other Federal Funds. See Note 8 above, detailing the apportioning of "Federal Contributions" to Community and Institutional Services (our analysis includes "DD Program," "Maternal and Child Health," "Rehabilitation and Training," "Vocational Education," and "Handicapped Innovative Program" here as Community Services Other Federal Funds).

13. Private ICF/MR. John Campion (DMR) reported on 11/8/83 that there are 102 private ICF/MR beds (at an average of $17,750 per year per bed, or $1,810,500 annually). The Federal Share (50%) of this estimated expenditure is deducted (FY `80 -FY `84) from the total Federal ICF/MR figures which were reported 11/7/83 by Nugebauer (see Note 3, Step 7 above).

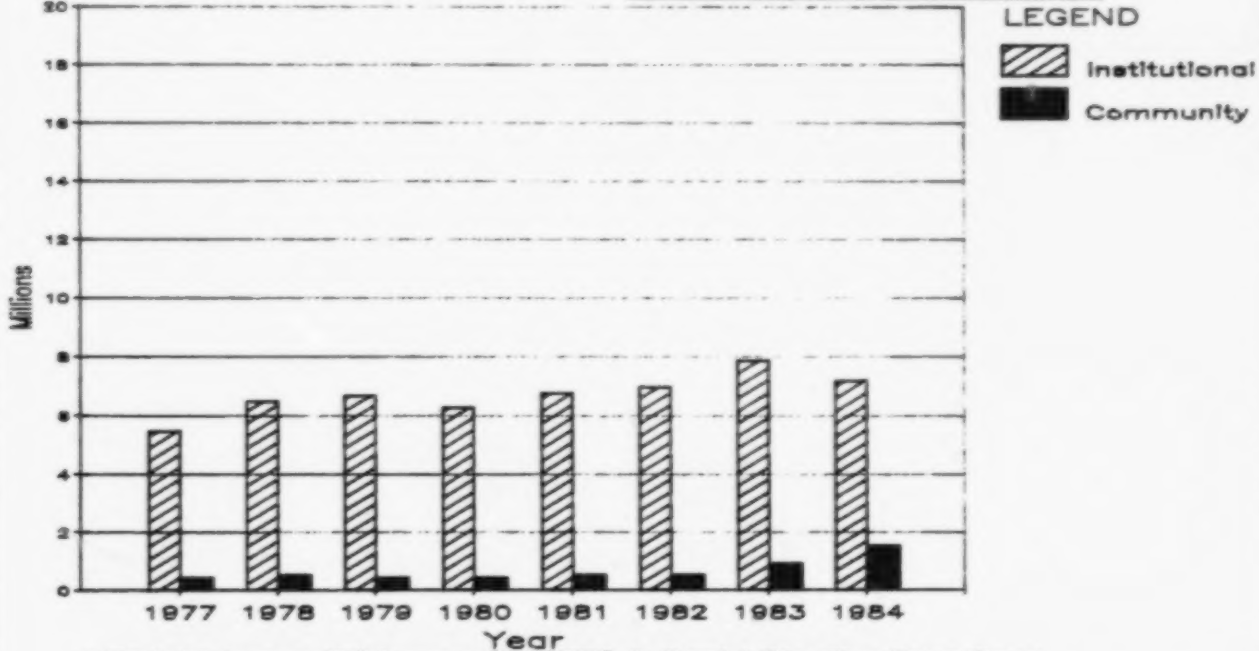
DELAWARE

STATE PROFILE

DELAWARE
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

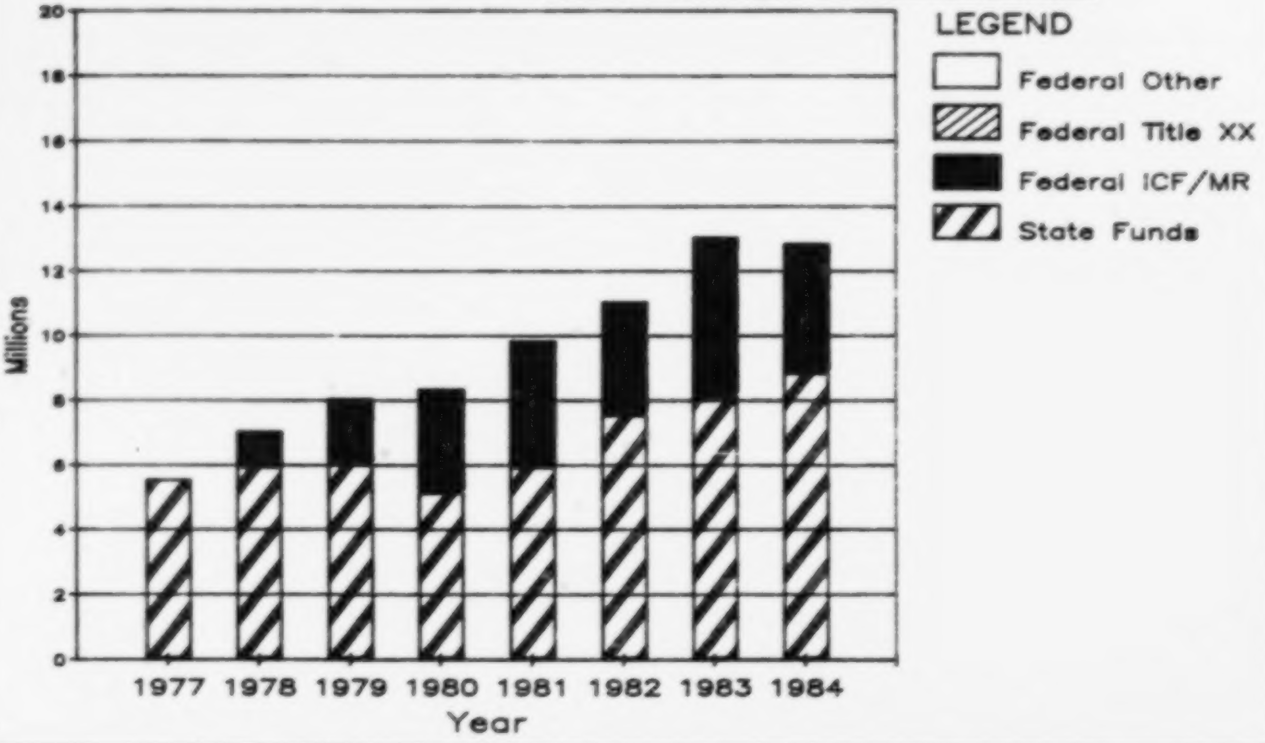


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

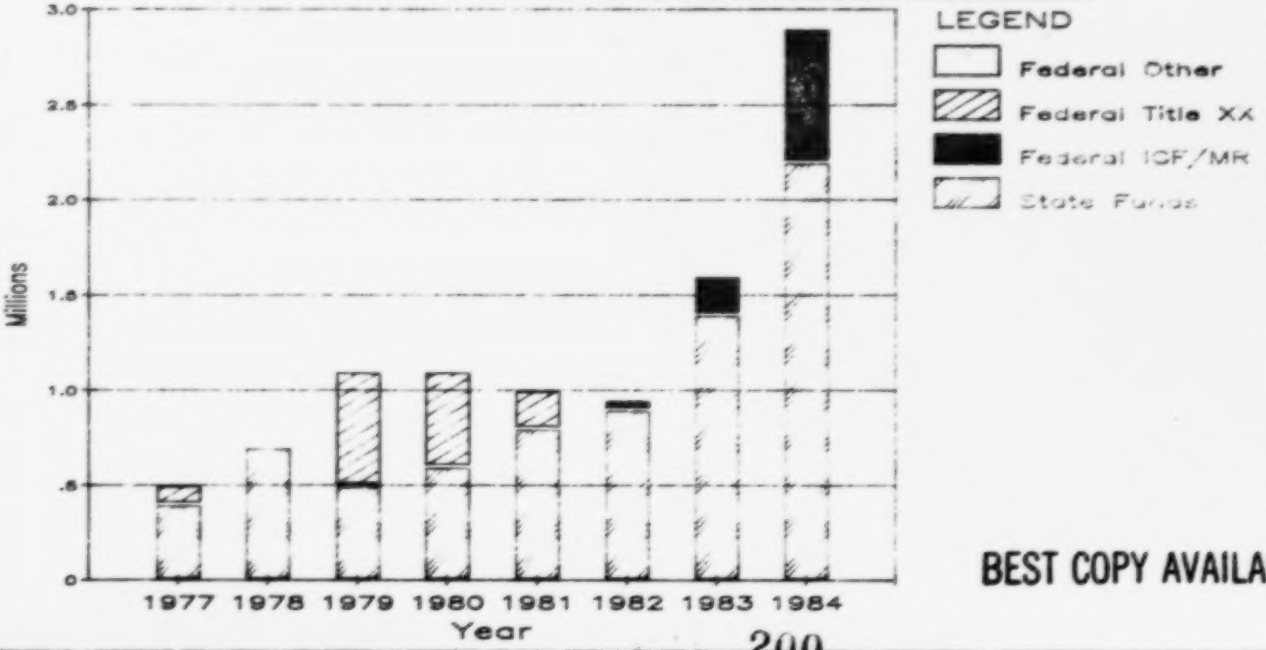
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



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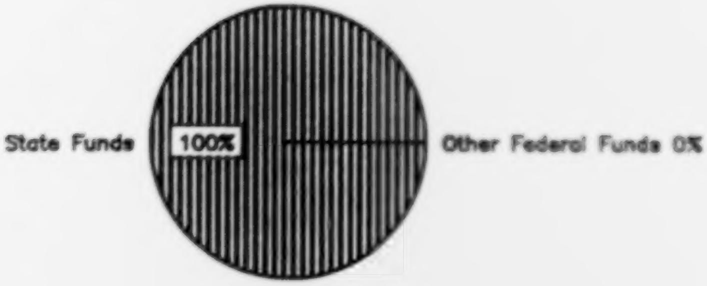
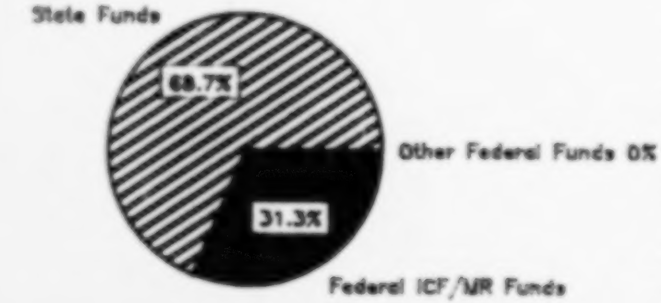
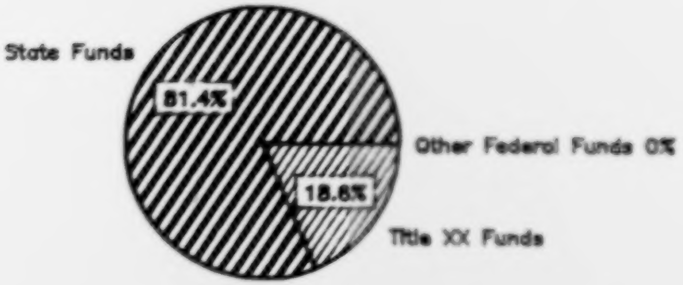
DELAWARE
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



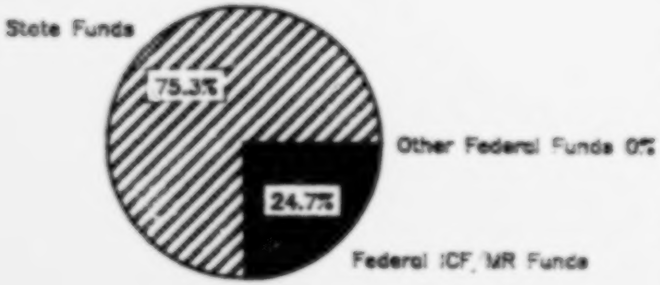
Institutional: 1977 Total Funds—$5.6 Million



Institutional: 1984 Total Funds—$12.9 Million



Community: 1977 Total Funds—$510 Thousand

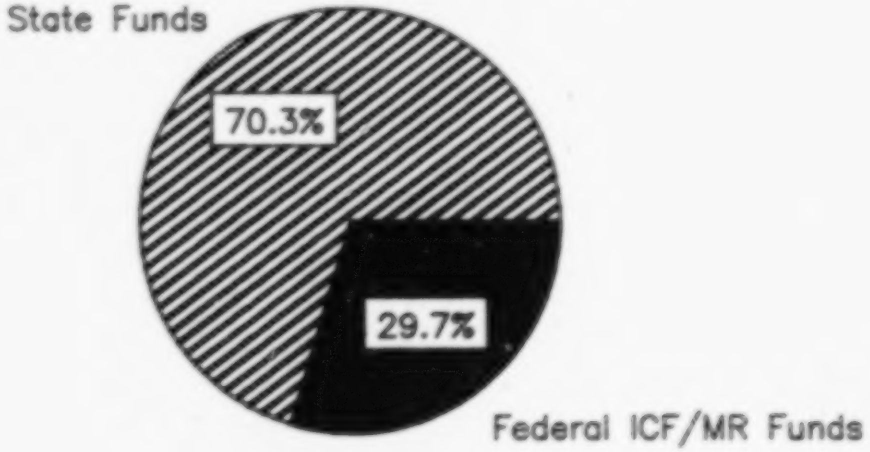


Community: 1984 Total Funds—$2.9 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

DELAWARE
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

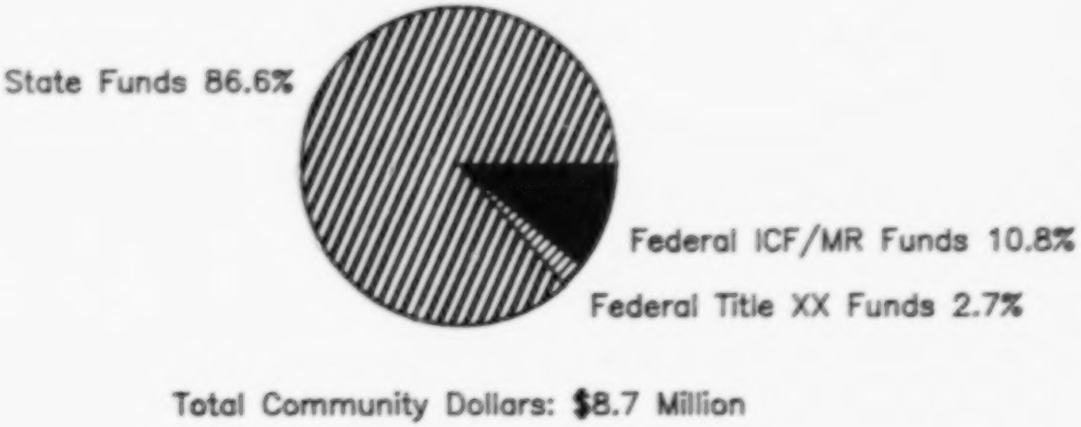
Institutional Services Funds



Total Institutional Dollars: $76.1 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

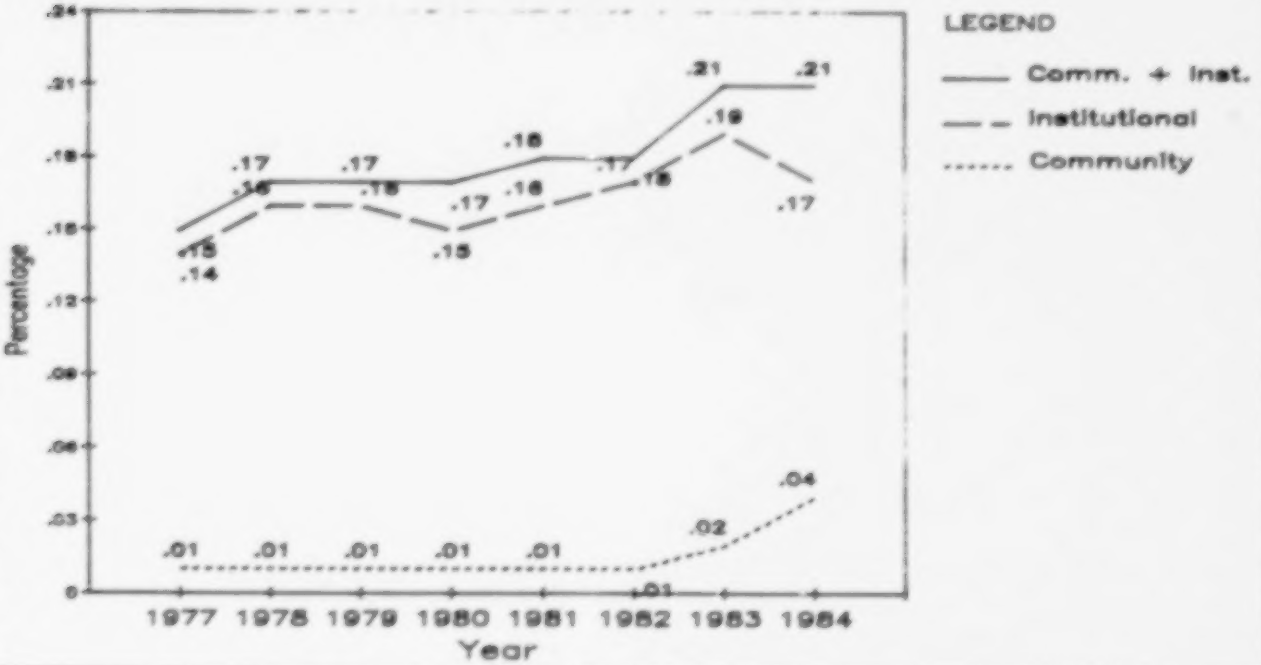


Total Community Dollars: $8.7 Million

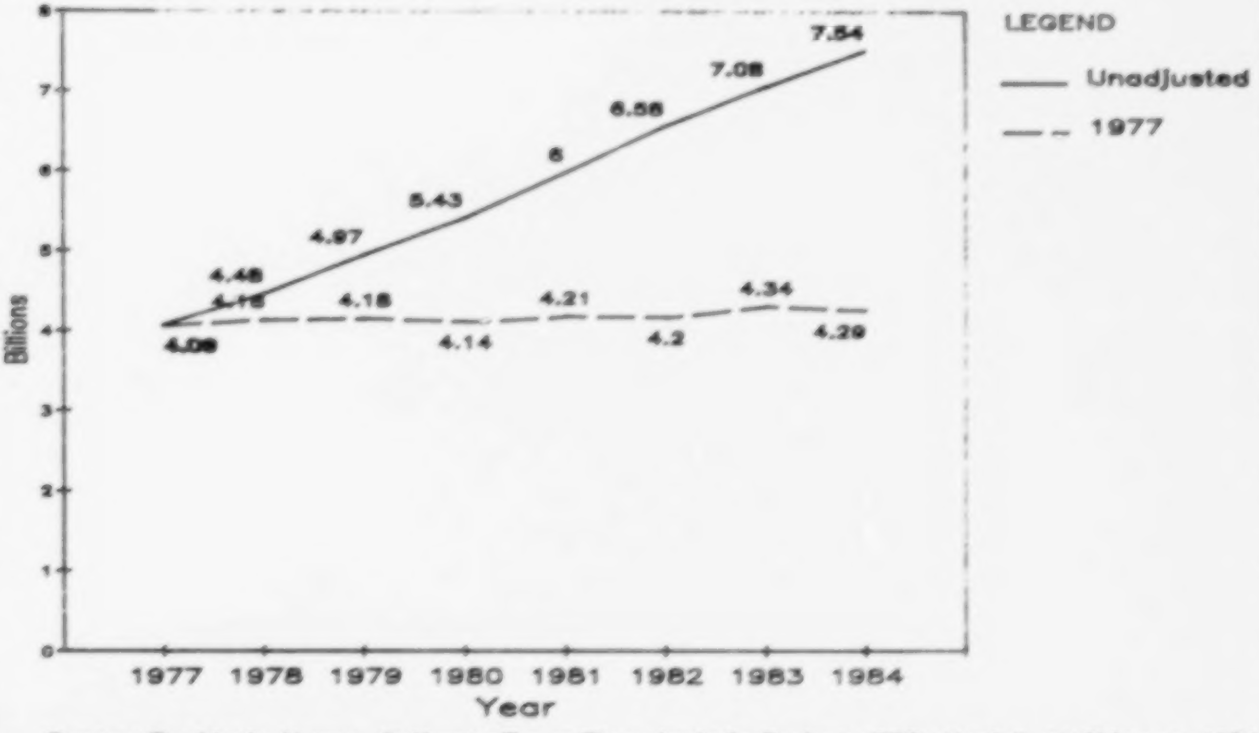
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



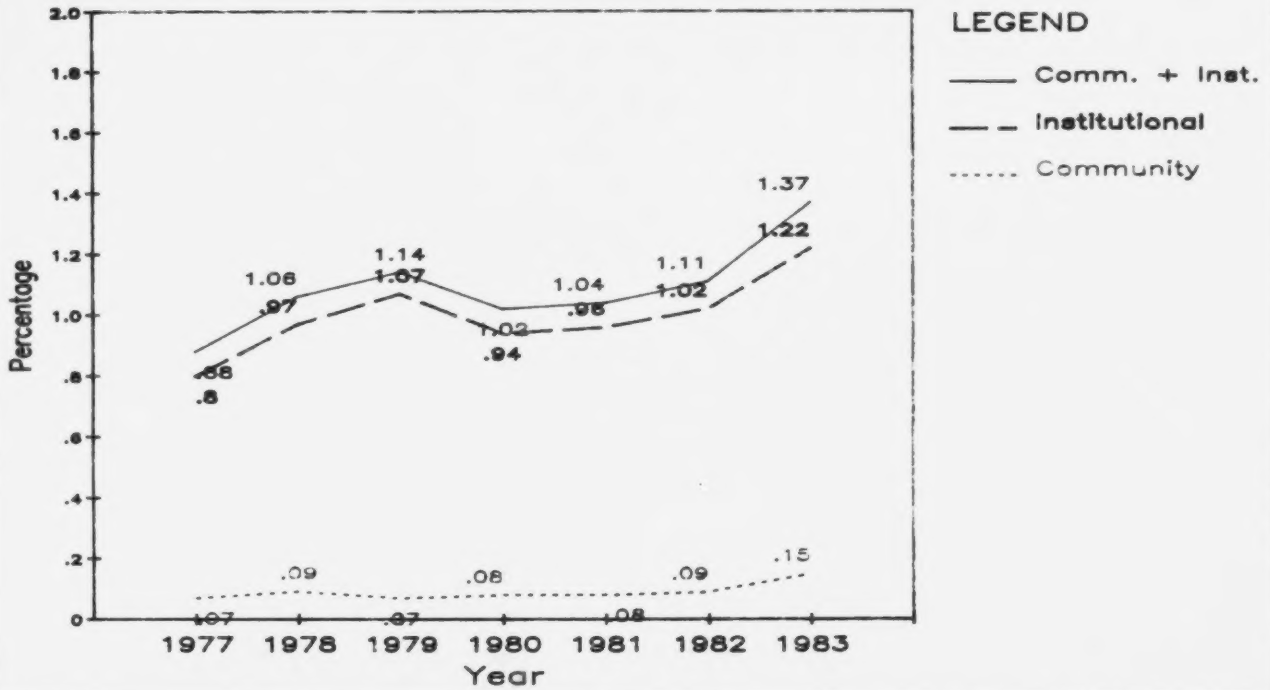
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



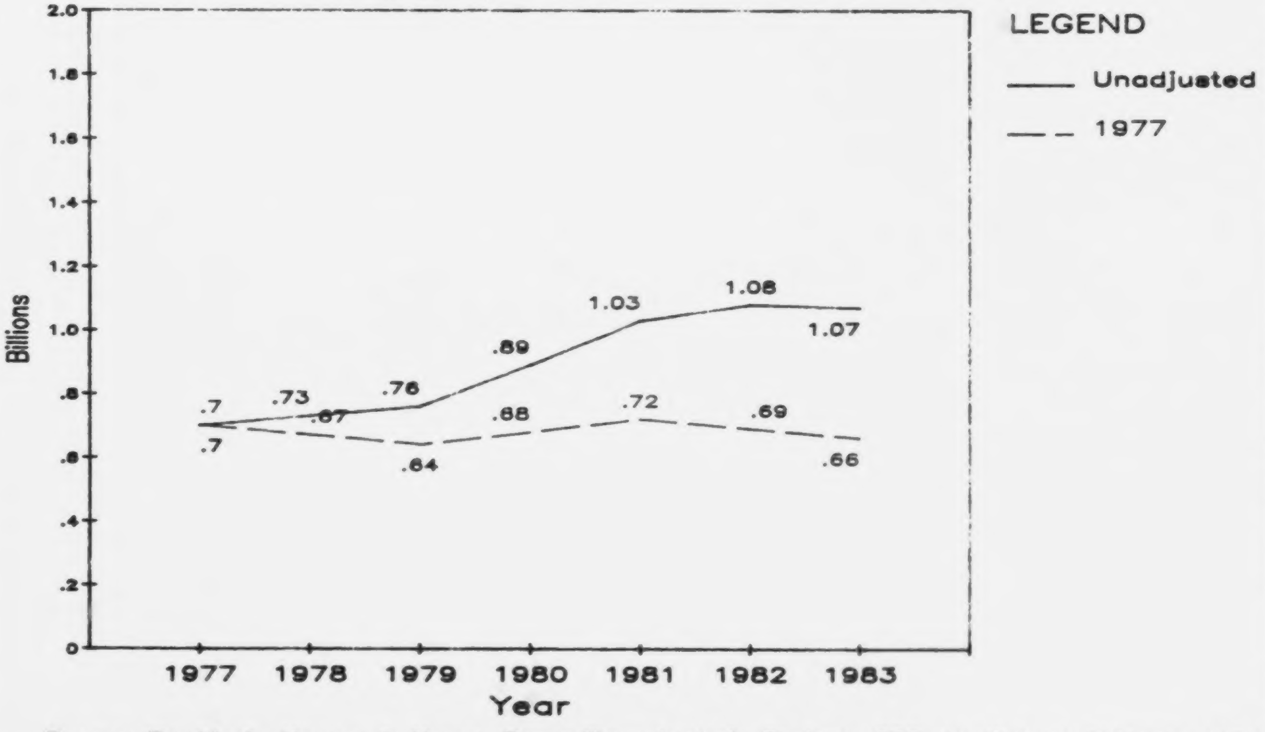
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1984

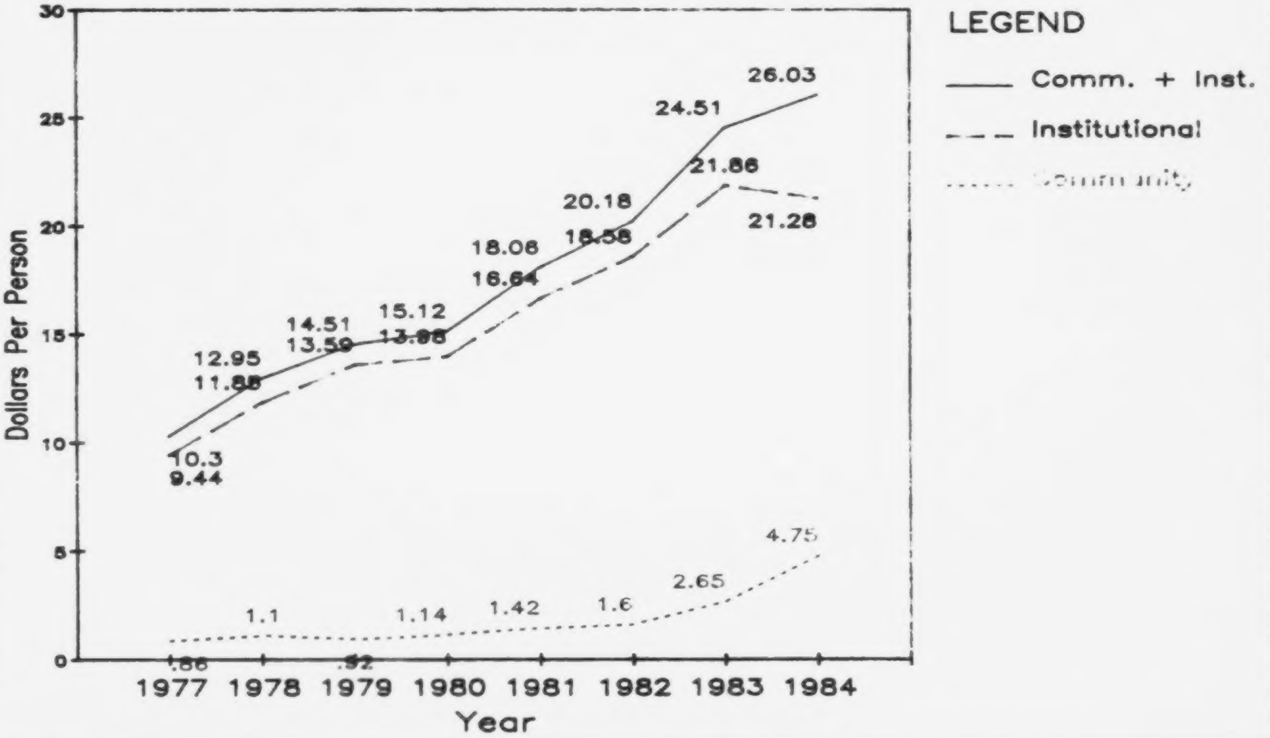


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

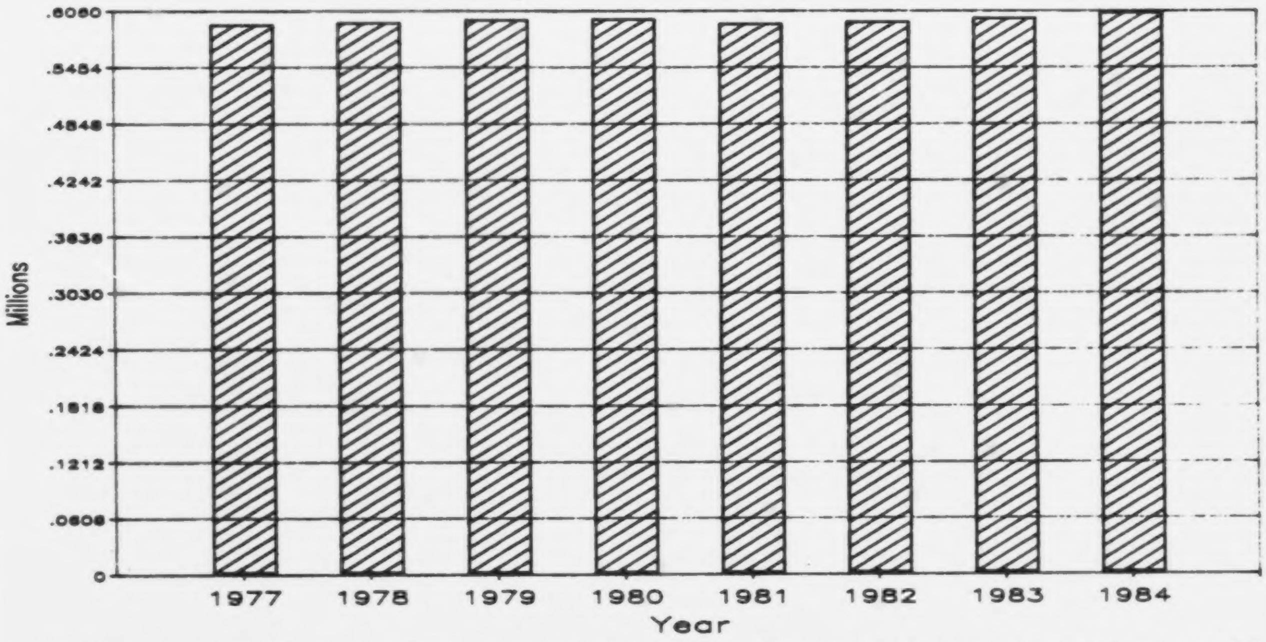


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE
MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

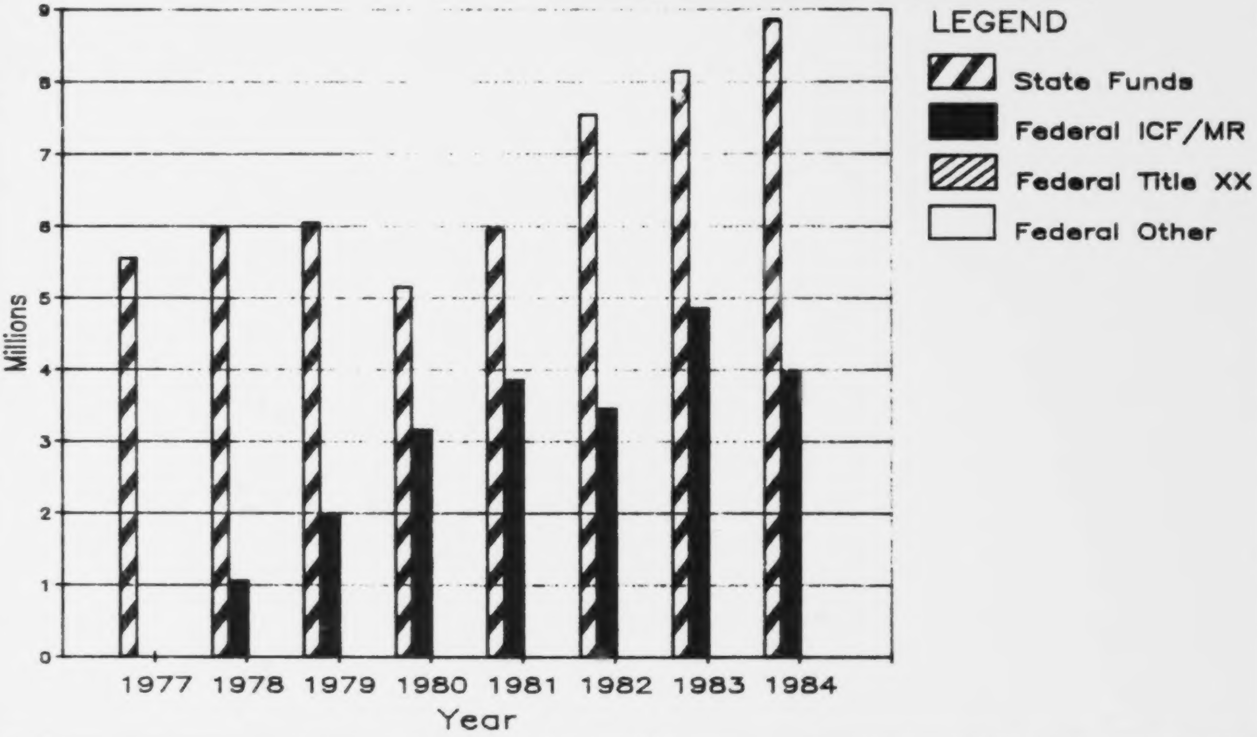


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

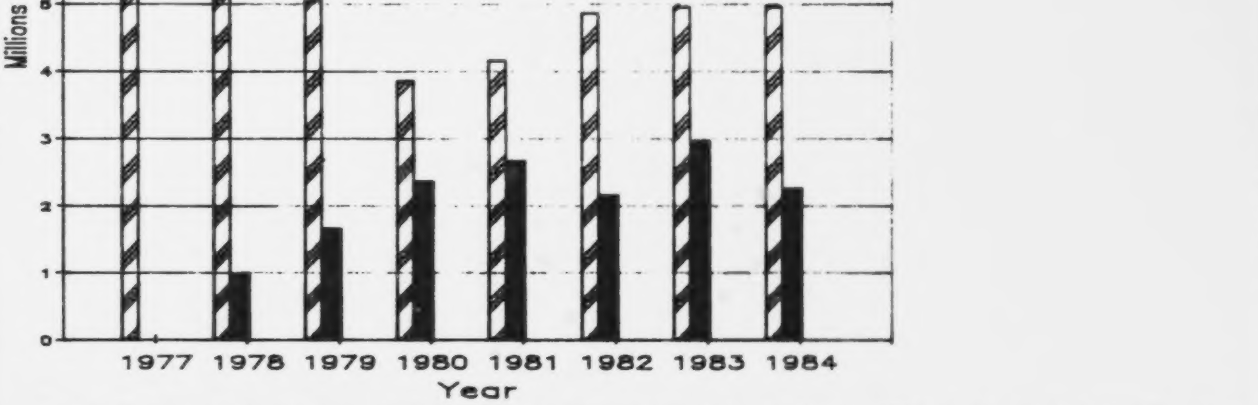
DELAWARE

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977—1984, *In Unadjusted Dollars*



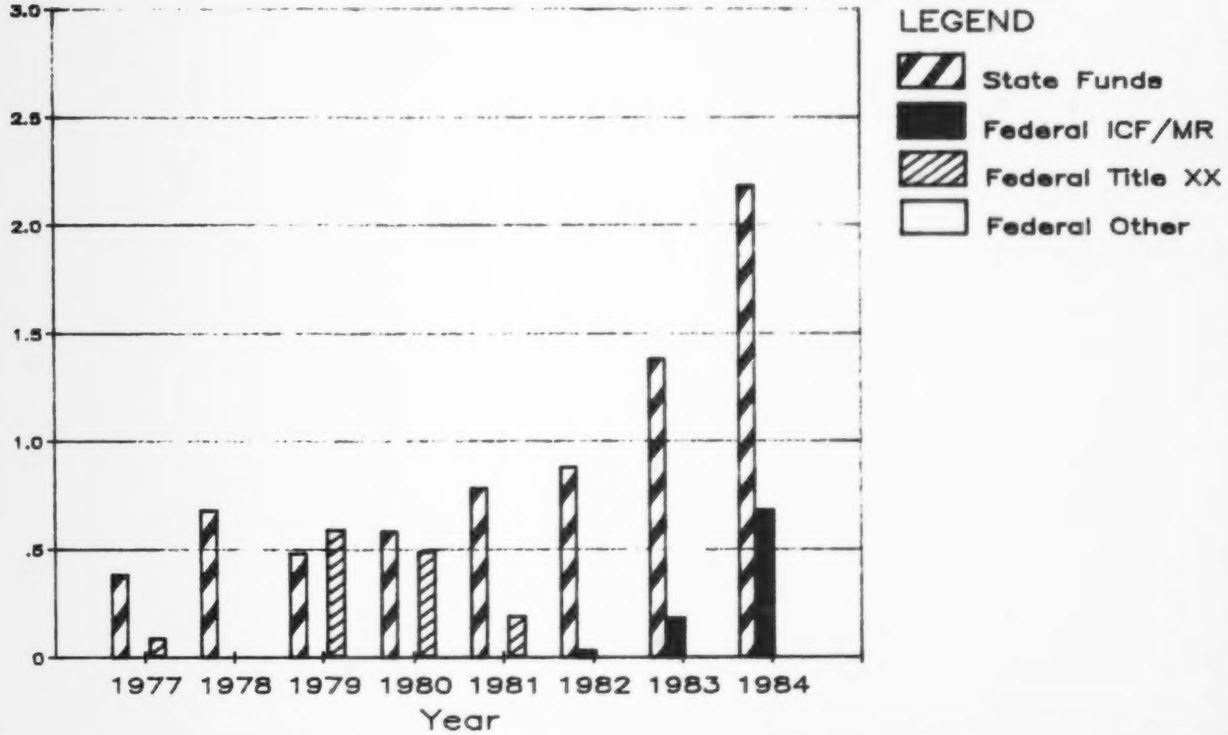
FY 1977—1984, *In 1977 Dollars*



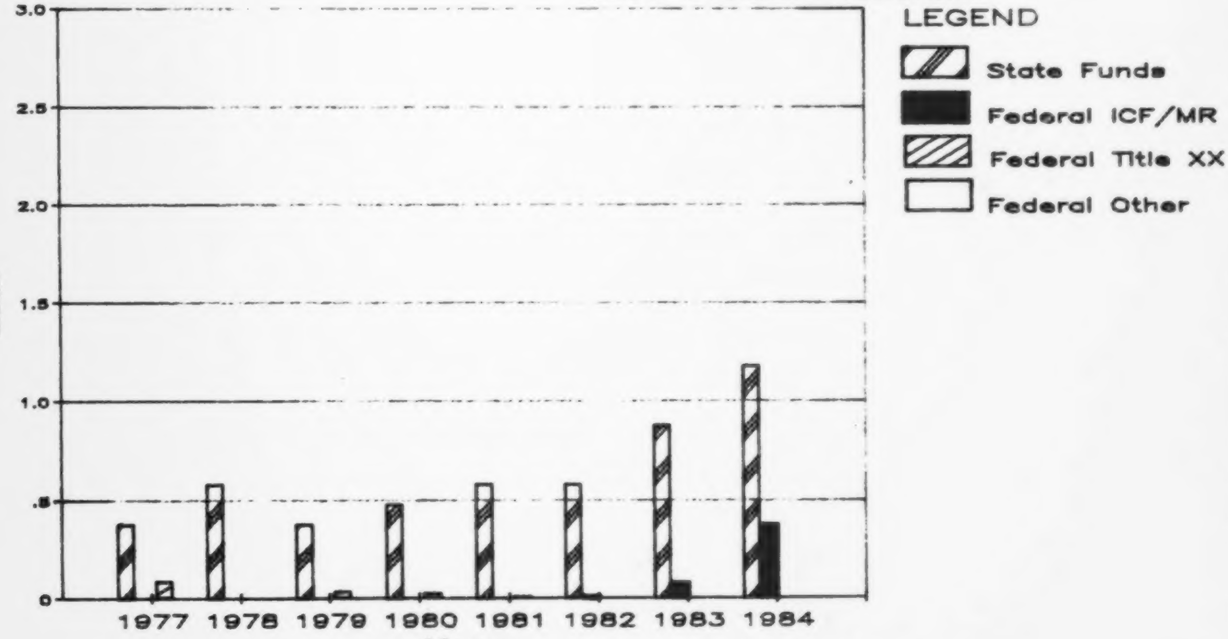
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



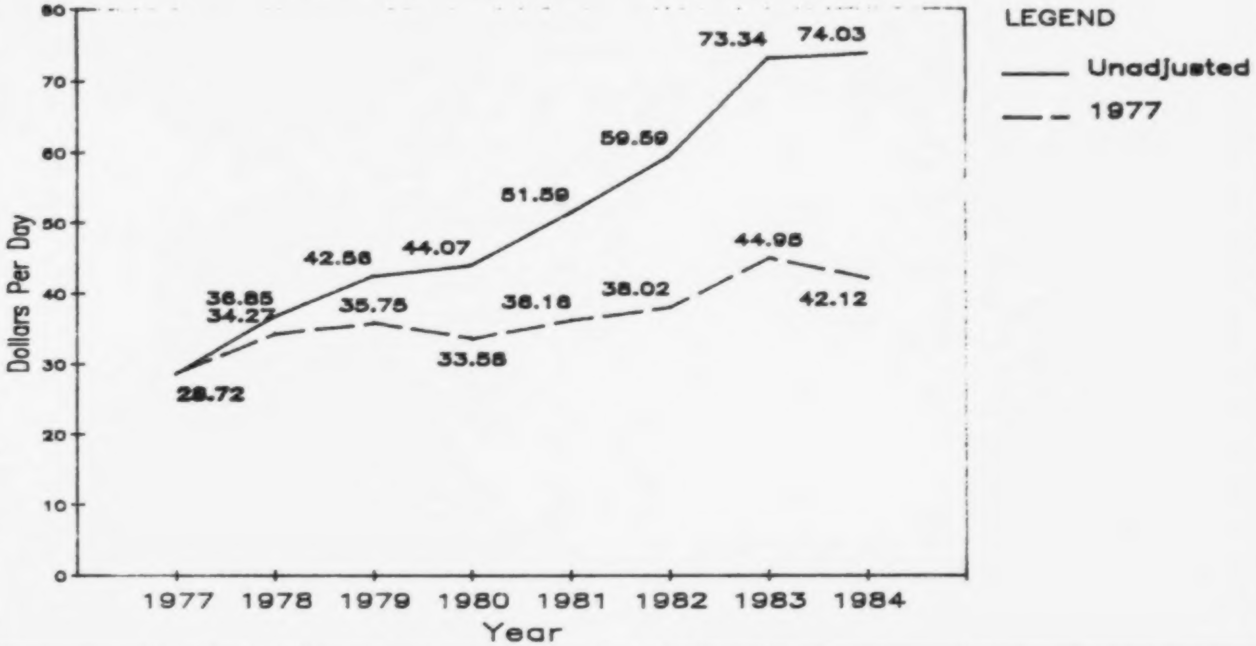
FY 1977–1984, *In 1977 Dollars*



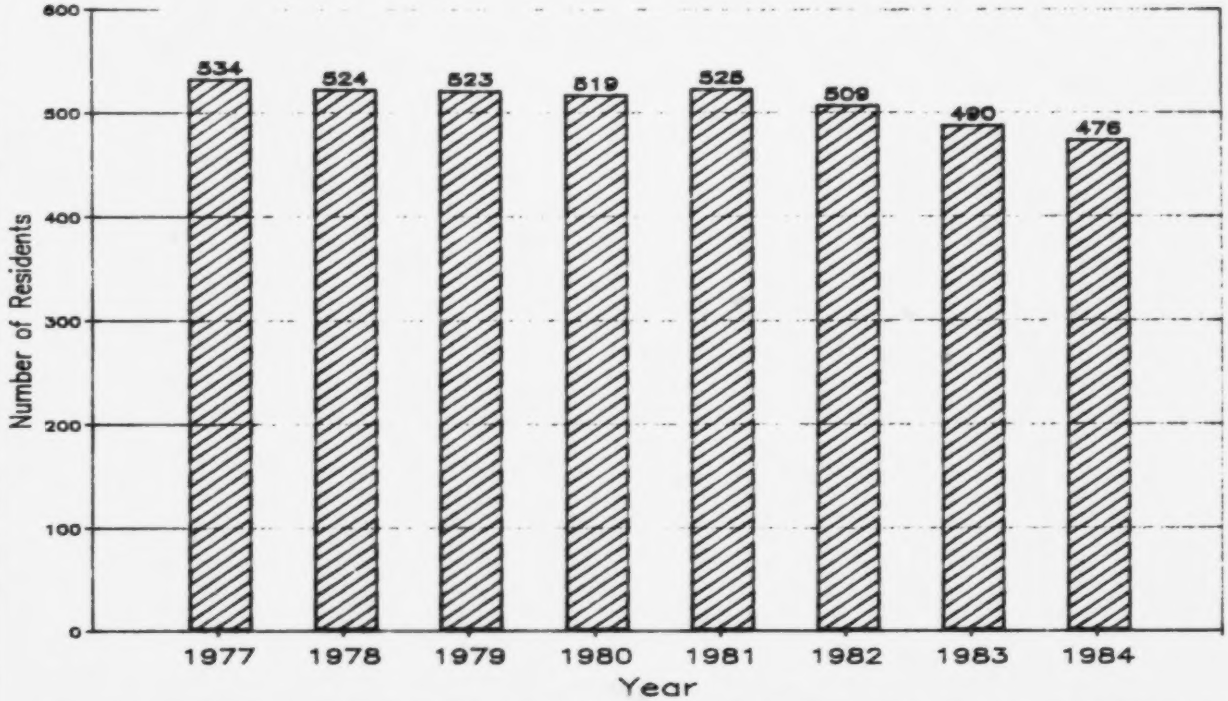
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DELAWARE

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for mentally retarded individuals in Delaware are administered by the Division of Mental Retardation within the Department of Health and Social Services. The Office of the Director, within the Division of MR, was formed in FY 1981. Prior to that time, the Superintendent of Stockley Center served in a dual capacity as both Superintendent of Stockley and Director of the State Division of MR.

2. Budget Format: From FY `77-80, the Division of MR budget had only two categories: Hospital for the Mentally Retarded (changed to Stockley Center in the 1982 budget), and Community Mental Retardation Program. Starting in FY `81, the Director's Office was added. In all years, the funding source categories were the same: "General Funds" and "Special Funds."

   In accordance with this project's general definitions, we have excluded central administration expenditures. Therefore, the Director's office, which appears from FY `81-`84, was not included. Prior to FY `81 no funds are excluded for central administrative costs because the Stockley Center personnel were serving in dual capacities, handling state administrative duties as well as the institution responsibilities.

3. Note on Data Sources: Actual expenditure figures were obtained from the 1979, 1981, 1982, 1983 and 1984 Governor's Recommended Budget, except where otherwise noted. Delaware has a biennial budget.

II. INSTITUTIONAL SERVICES

4. Institutional Services includes expenditures for Stockley Center residents. In FY `77 and `78, the State DD Council was included in the Stockley budget. These funds ($127,956 in `77 and $47,541 in `78) were deducted from the Special Fund category under Stockley because they were not deployed for Institutional Services purposes. FY `84 appropriation figures were provided by Ann Hall, Stockley Business Office, telephone interview, 8/24/83.

   The resident population at Stockley has been as follows:

FY	Average In Residence Population
1976	544
1977	534 (extrapolated)
1978	524
1979	523
1980	519
1981	525
1982	509
1983	490
1984	476 (year to date Jan-May `84)

   (1976-1984 figures from Kathy Wooten, Records Office, Stockley Center, telephone, 5/18/84).

5. State General Funds. In Delaware federal Title XIX ICF/MR receipts are deposited directly into the General Fund. An amount representing the federal share (50%) of total Title XIX funding was deducted each year from the Institutional "General Fund" and reflected in the Federal Title XIX line in this analysis.

Although we have excluded major capital construction costs in this analysis, the following "Debt Service" payments are included in the General Fund line each year. According to Ann Hall, Delaware sells bonds to finance its capital construction. The principal and interest payment on these bonds is prorated and assigned to each state agency and identified in the budget as "debt service." The following amounts of debt service remain in the General Fund under both Stockley Center and Community MR Program ($ in thousands).

Fiscal Year	Institutional	Community
1977	$ 488	$ 5
1978	494	5
1979	482	7
1980	461	22
1981	478	21
1982	504	20
1983	535	20
1984	568	19

6. Other State Funds are primarily private donations, interest on client trust funds, and proceeds from the canteen fund (Ann Hall, telephone, 9/28/83). These funds are labeled "Special Fund" in the Governor's Budget document.

   Also included in this line is a small amount for four federal Vocational Education grants from FY `81-84. Ann Hall (telephone, 9/28/83) estimated the grants to be $5,800 total for the four years combined.

7. Title XIX. Delaware budgets' gross Title XIX receipts are in the "General Fund" line, as explained in Footnote 5. Ann Hall, Stockley Business Office (telephone, 8/24/83) provided the Title XIX gross receipts for each year. The state/federal matching rate is 50%, so a sum representing the federal share, which is half of the gross receipts, was deducted from the Institutional General Fund line and carried here as the Federal Title XIX share.

III. COMMUNITY SERVICES

8. Community Services consists of the following: (1) the "Community MR Program" line in the Budget, (2) funds for operating two ICF/MR group homes which were reported in the "Office of Director" budget, and (3) the entire Medicaid Waiver in 1984 which was split three ways between each section of the Division in the Governor's Budget. (Bob Timmons, Deputy Director of MR, telephone interview, 8/26/83).

   The following amounts were added to the Community Services Budget for the two group homes which appear in the Director's Office budget lines. Since Delaware's Medicaid matching rate is 50%, the following gross amounts were split, half going into General Fund line and half into the Federal Title XIX Community line.

FY 1982	$ 90,000
FY 1983	352,000
FY 1984	586,000

9. State General Funds. See Footnote 5 for explanation of debt service payments.

10. Other State Funds represent donations, according to Sue Staub, Community Programs, Division of MR (telephone interview, 8/24/83). They are carried for the State in the "Special Fund" budget category along with Title XX funds.

11. Title XIX. Community Title XIX consists of the Medicaid Waiver in 1984 which was distributed among all three divisional office components as follows:

Office of Director	--$470,000	for residential services
Stockley Center	--$ 85,000	for case management of deinstitutionalized residents.
Community MR Program	--$283,000	for day services.

The Waiver funds budgeted under the Stockley Center were subtracted from its budget and added to the Community Services section, along with the funds from the Office of the Director. These funds were also redistributed, half to General Fund and half to Federal Title XIX.

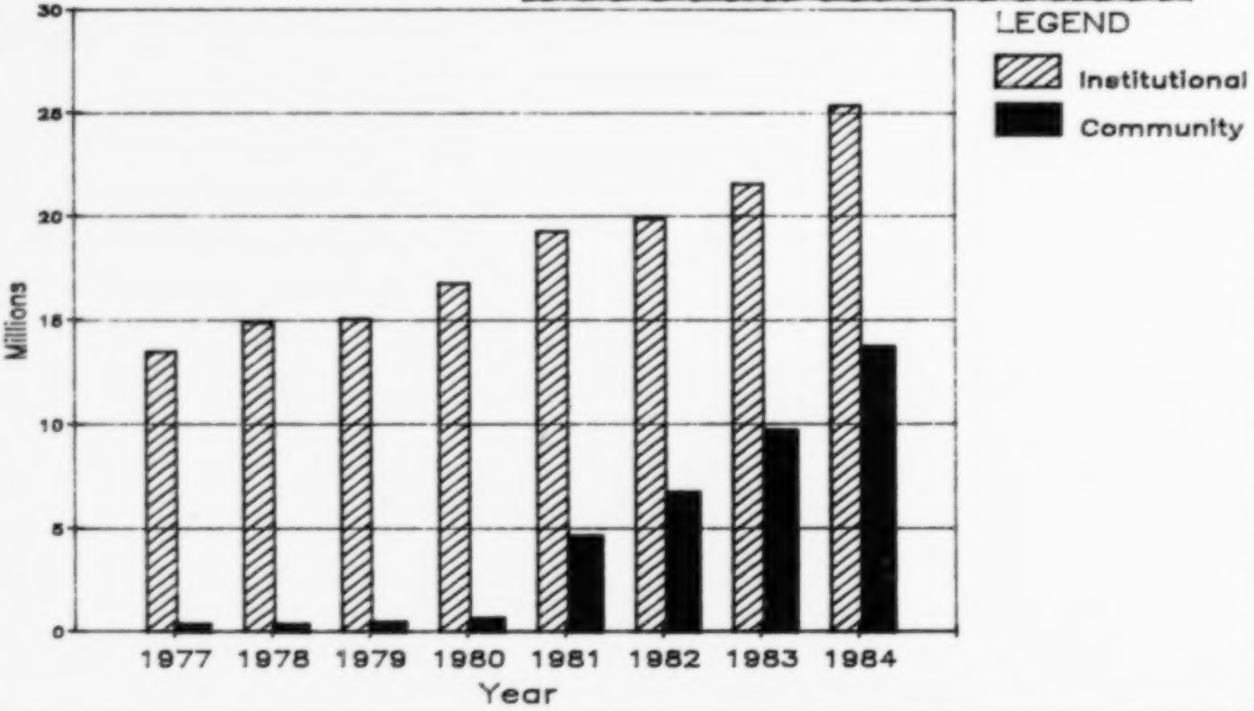
Also included in this line are expenditures for the two Title XIX funded group homes as explained in Footnote 8.

12. Title XX funds were used for MR clients through FY 1981 only, after which Title XX funding was shifted to other client groups. The Title XX funds reported for MR/DD are actual dollars granted as reported by Sue Staub (telephone, 9/28/83). They do not include the 5% administrative costs for central office administration. The state matching funds are in the General Fund line.

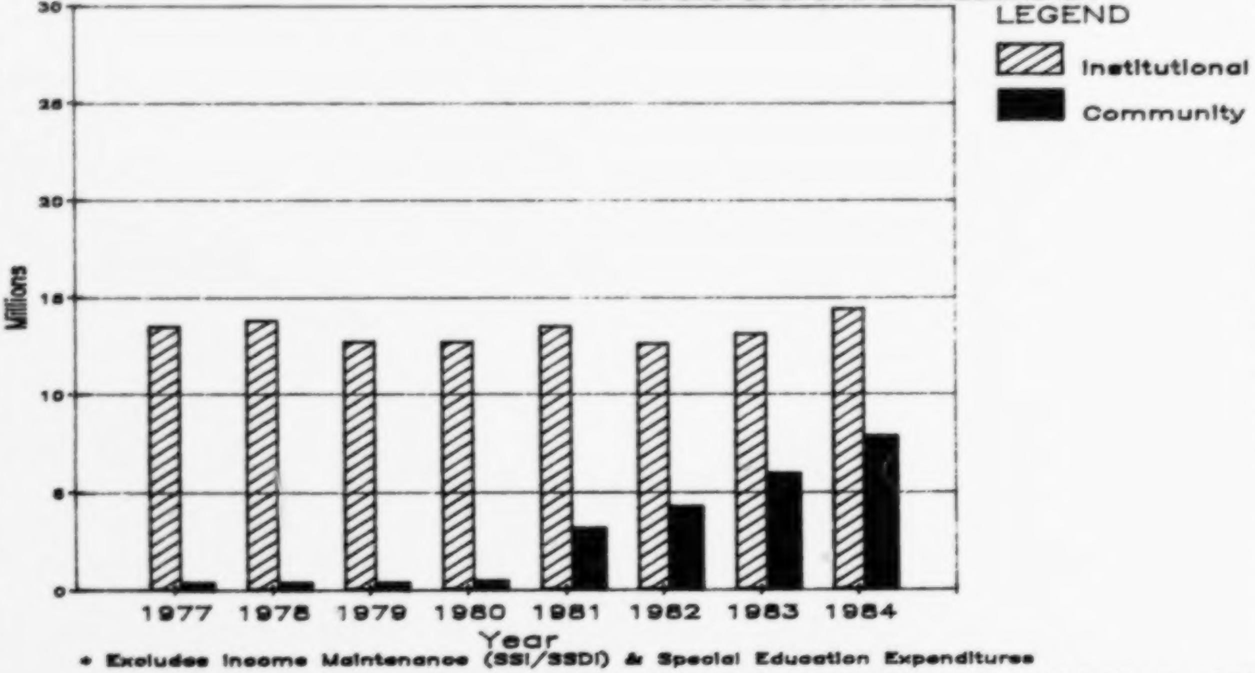
12. Private ICF/MR. Bob Timmons, Deputy Director, Division of MR (telephone, 9/26/83), reported that there were no private ICF/MR's.

DISTRICT OF COLUMBIA
PROFILE

DISTRICT OF COLUMBIA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

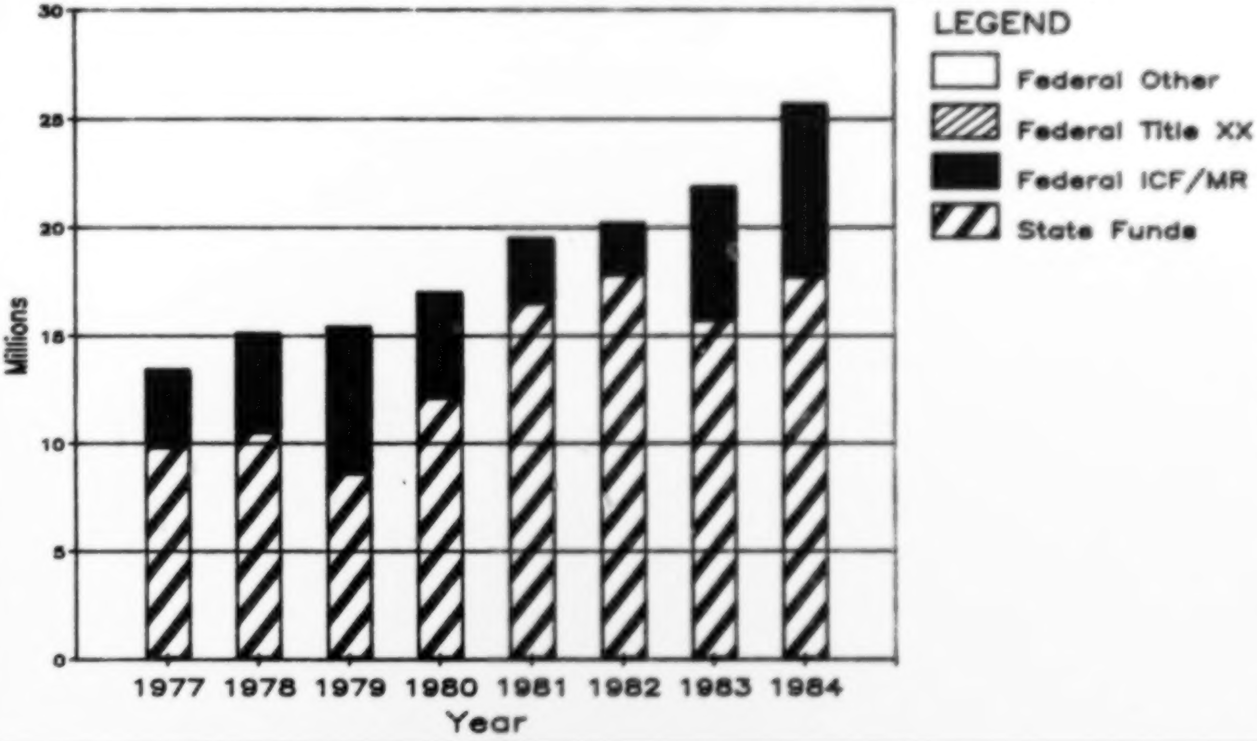


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

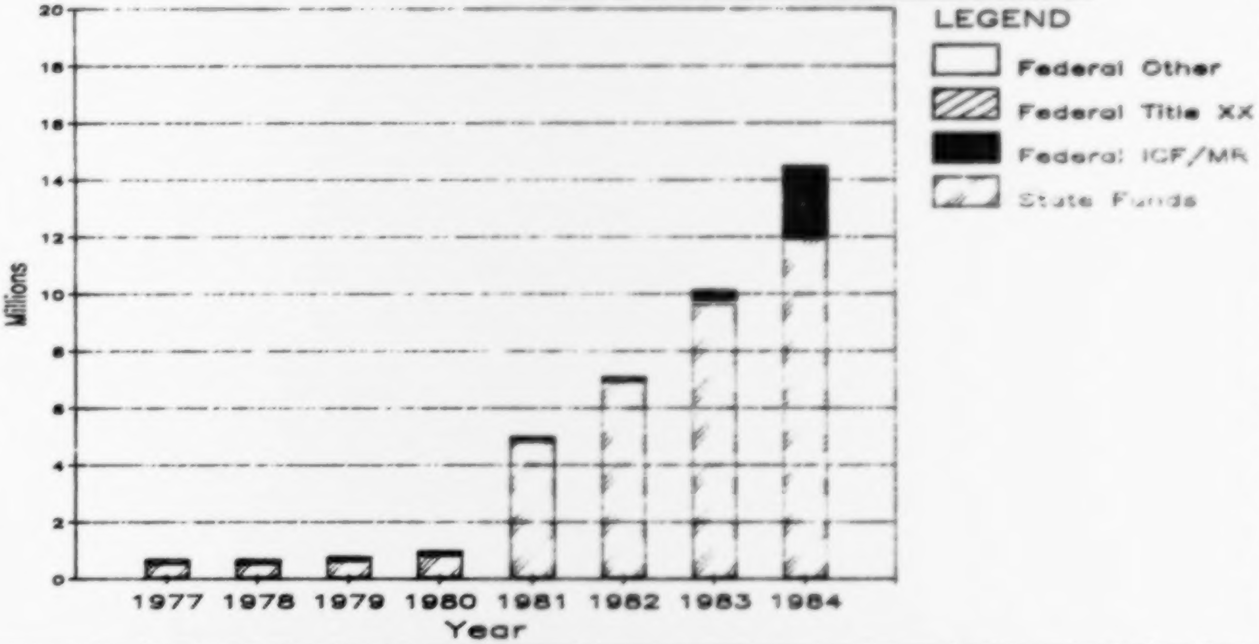
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA

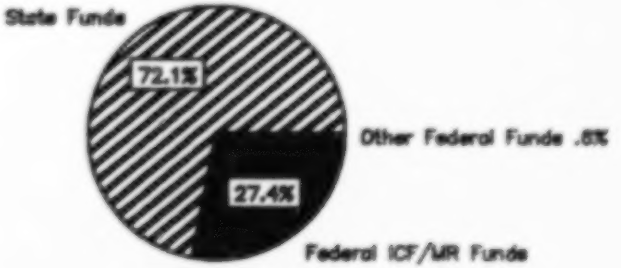
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



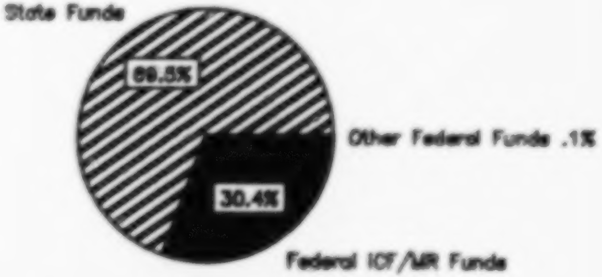
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



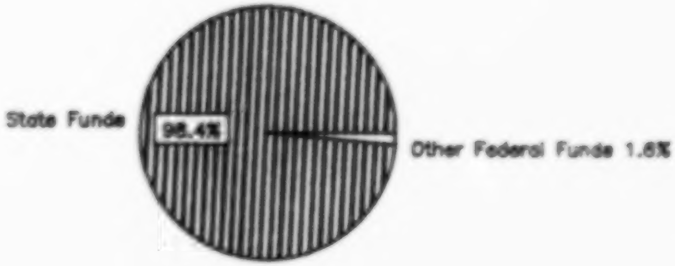
DISTRICT OF COLUMBIA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



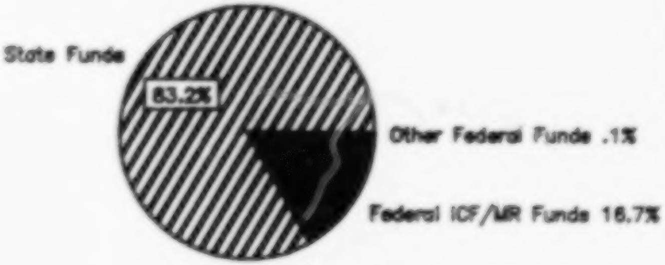
Institutional 1977: 13.7 Million



Institutional 1984: 25.6 Million



Community 1977: 645 Thousand

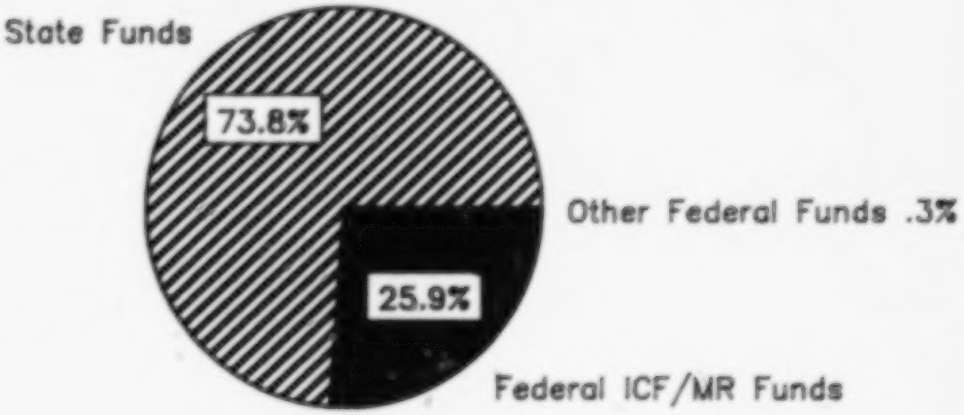


Community 1984: 14.3 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

DISTRICT OF COLUMBIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

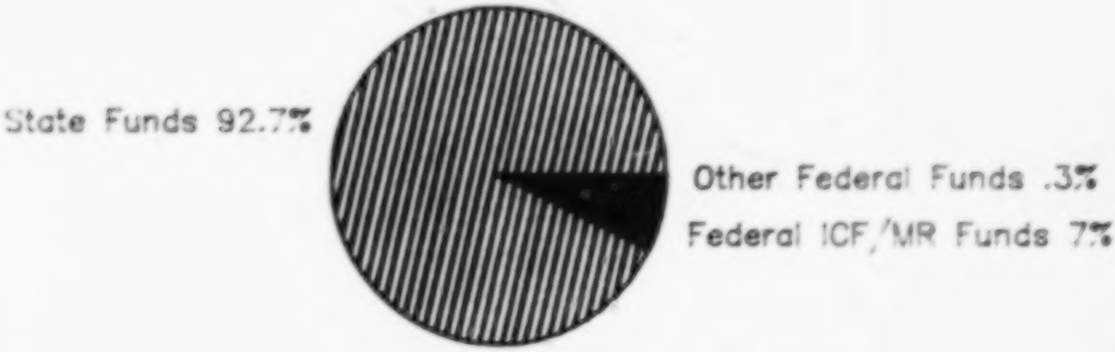
Institutional Services Funds



Institutional Total: $148 Million

Community Services Funds

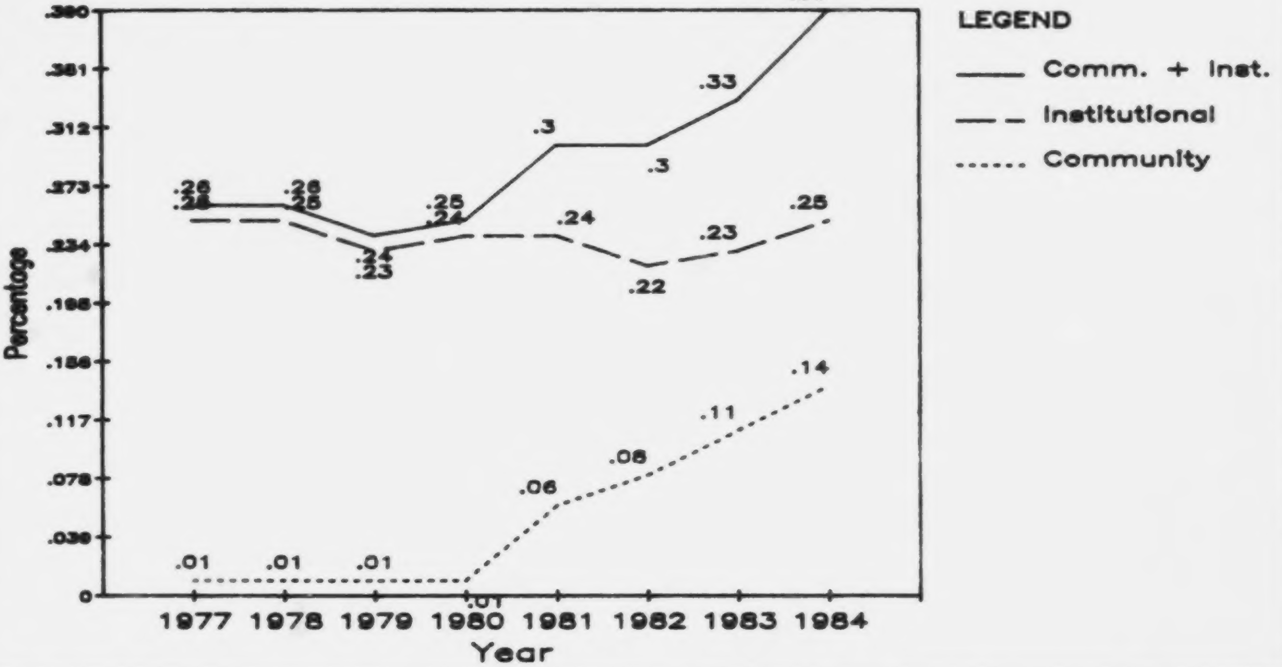
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



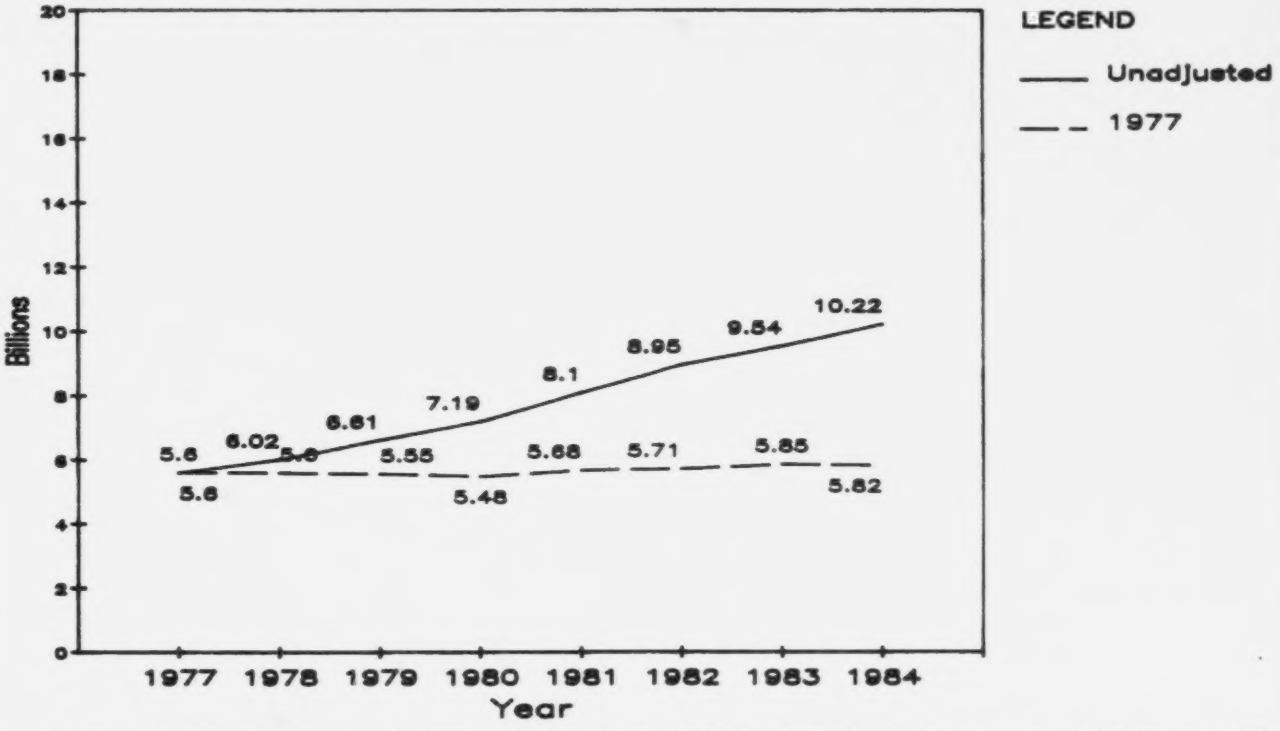
Community Total: $39 Million

Source: Braddock, Hawes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



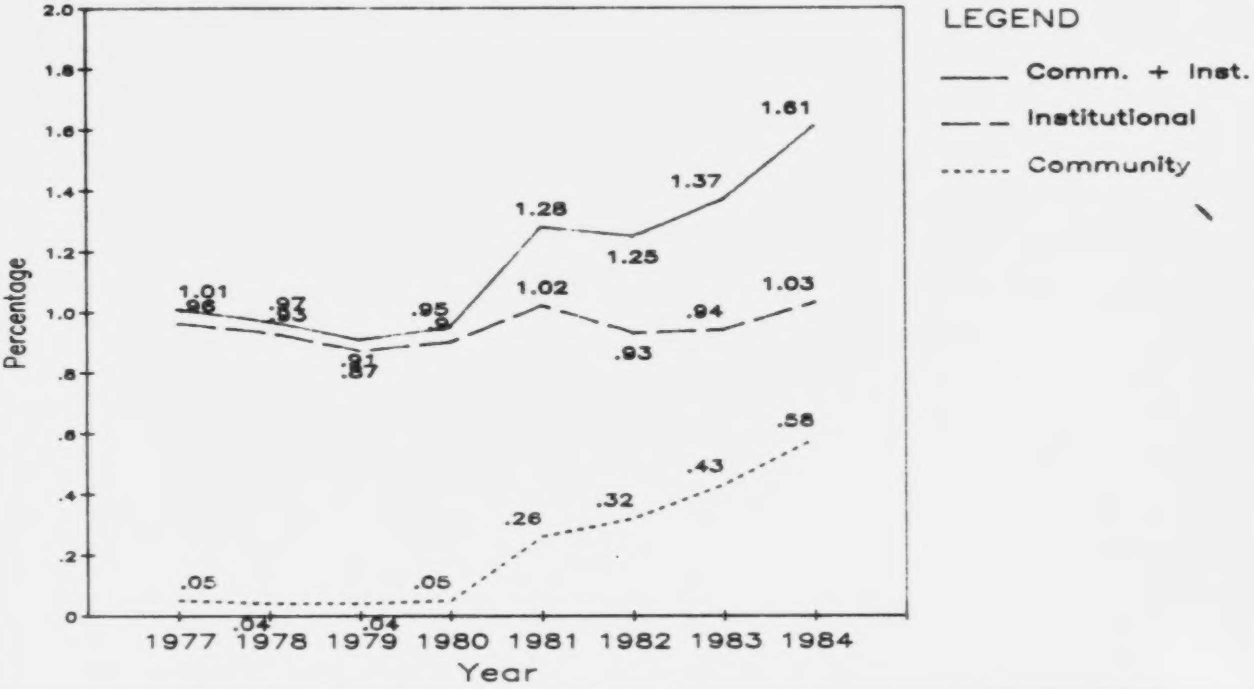
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



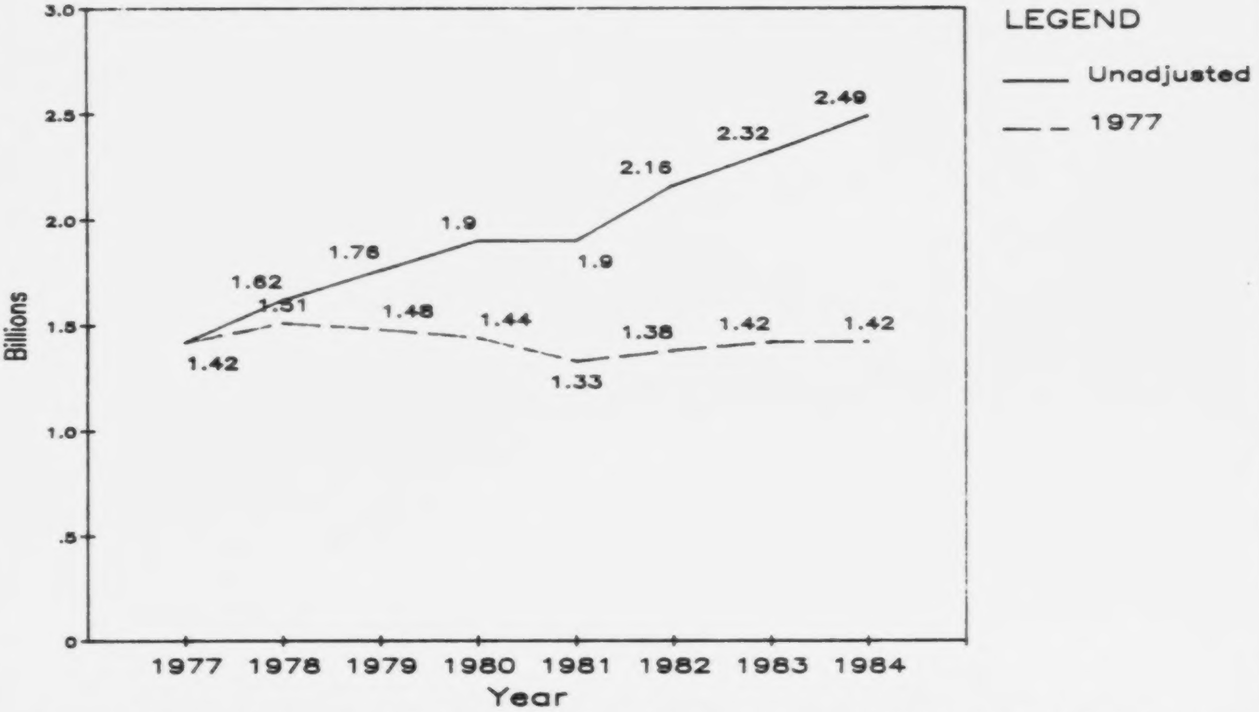
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget. FY 1977–1982



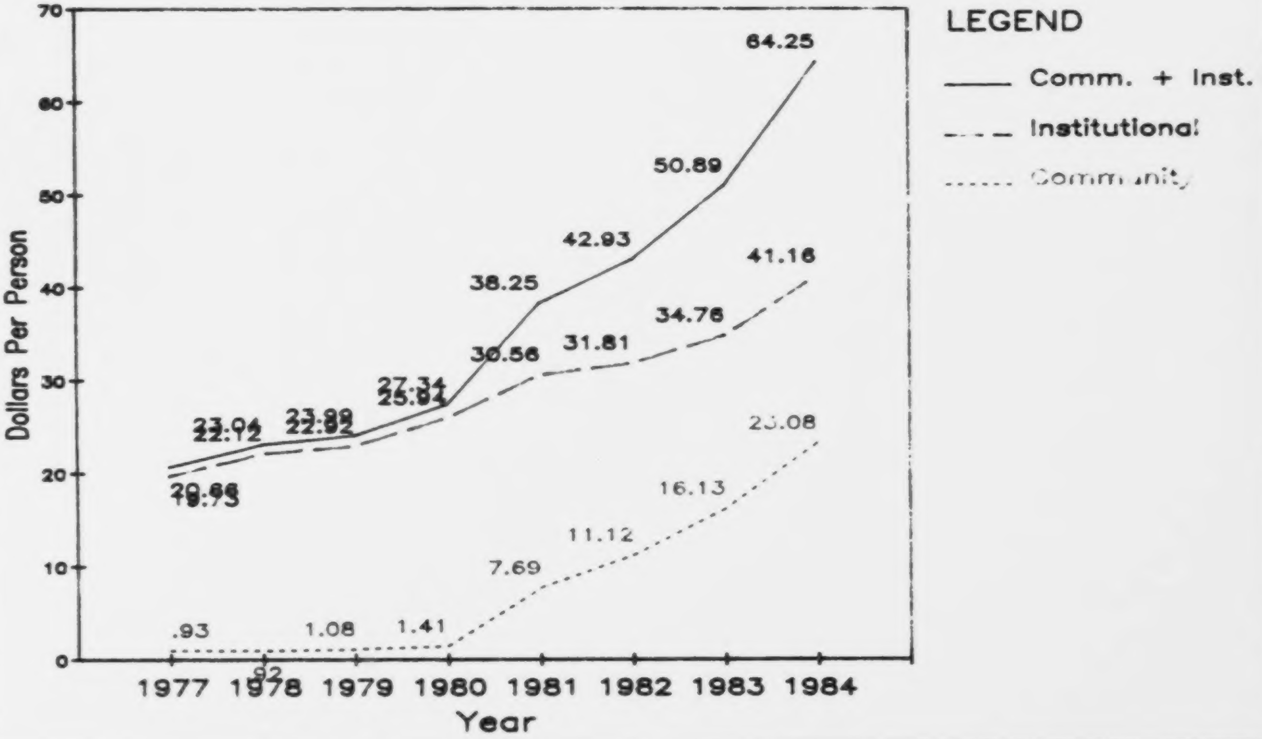
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1982



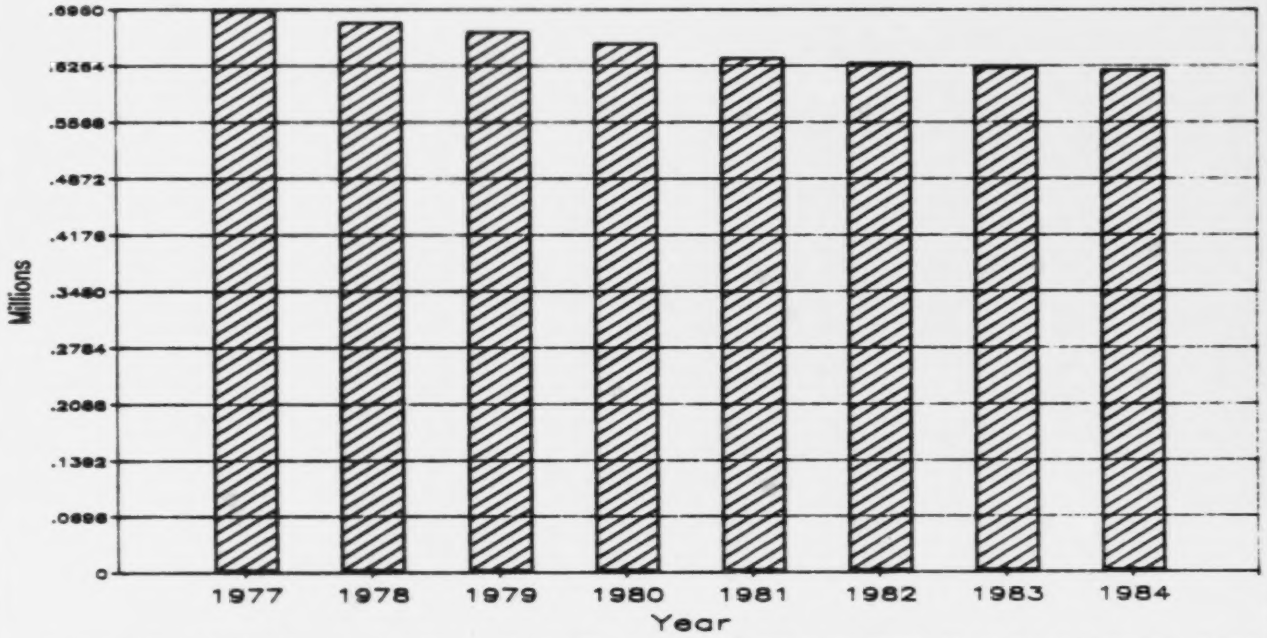
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



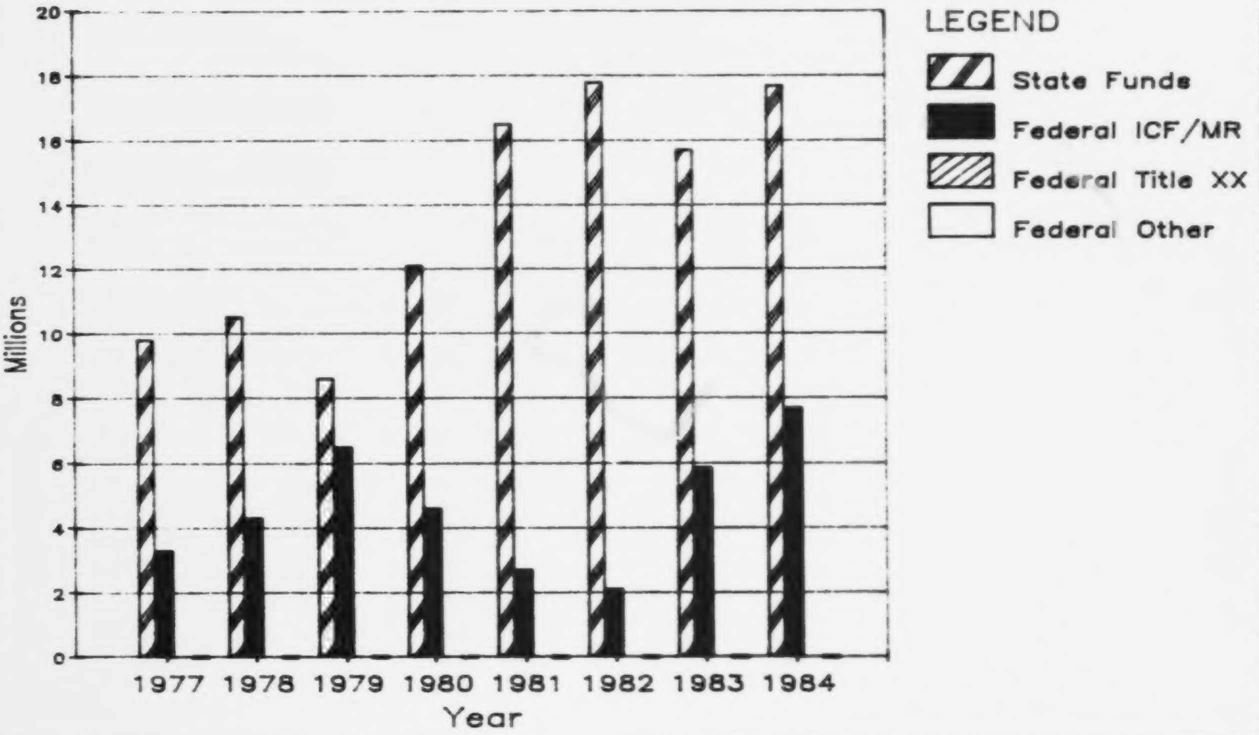
The Total State General Population FY 1977–1984



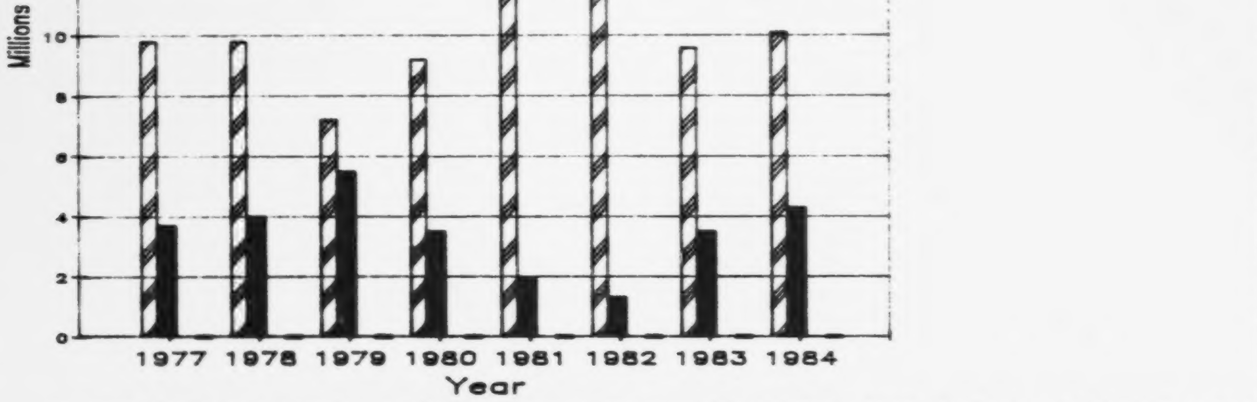
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

DISTRICT OF COLUMBIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

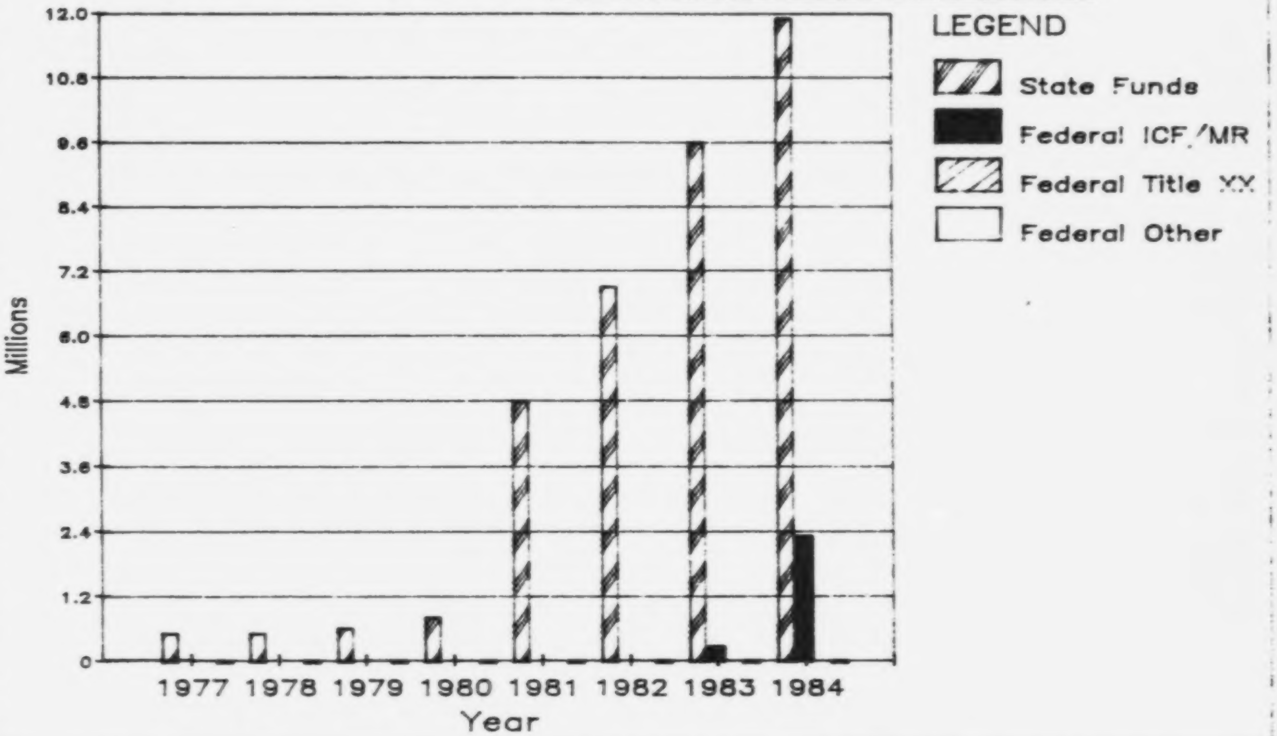


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

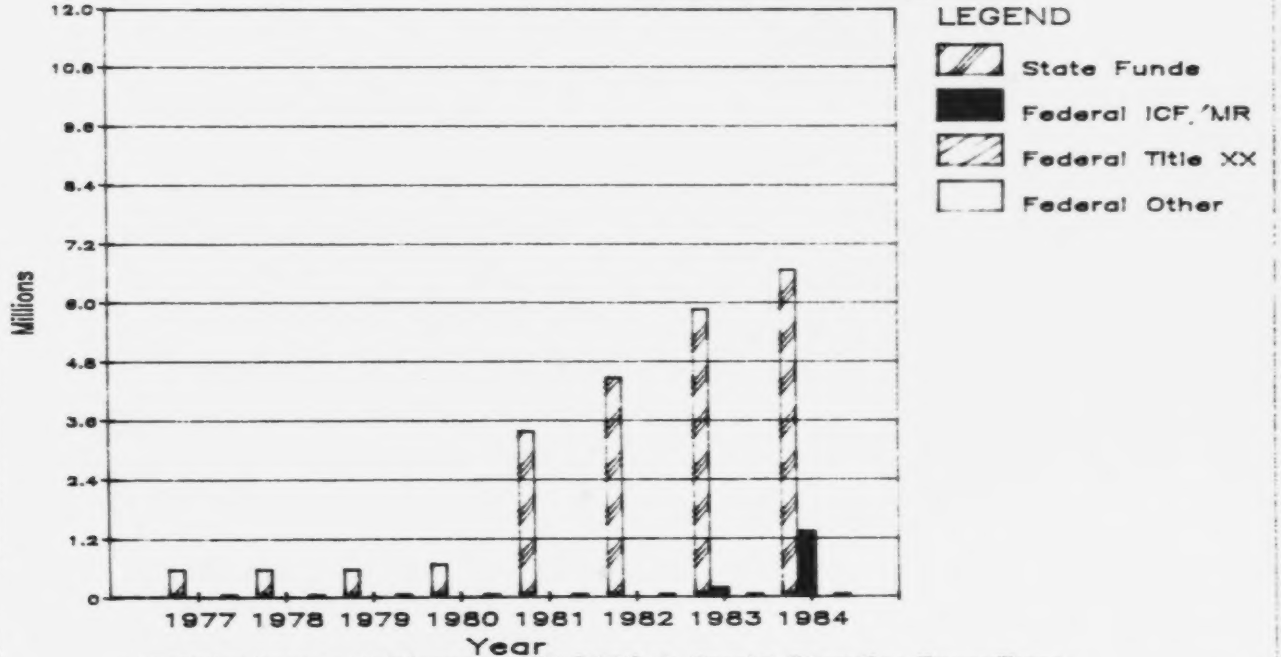
DISTRICT OF COLUMBIA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977—1984, *In Unadjusted Dollars*



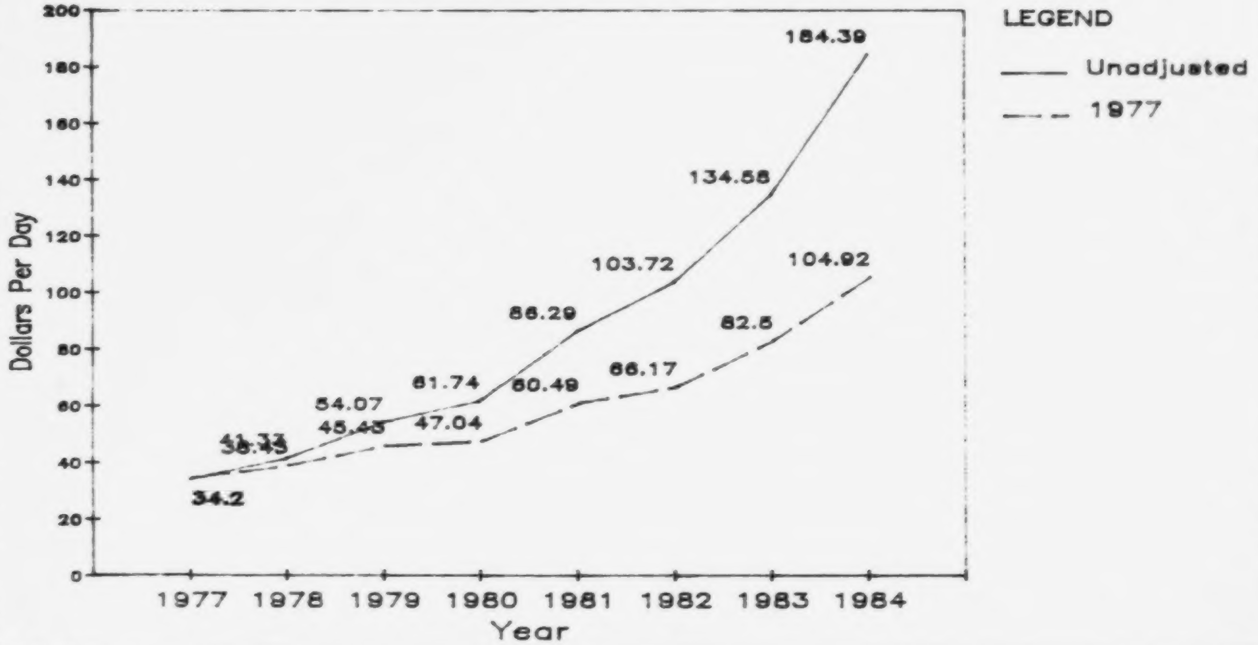
FY 1977—1984, *In 1977 Dollars*



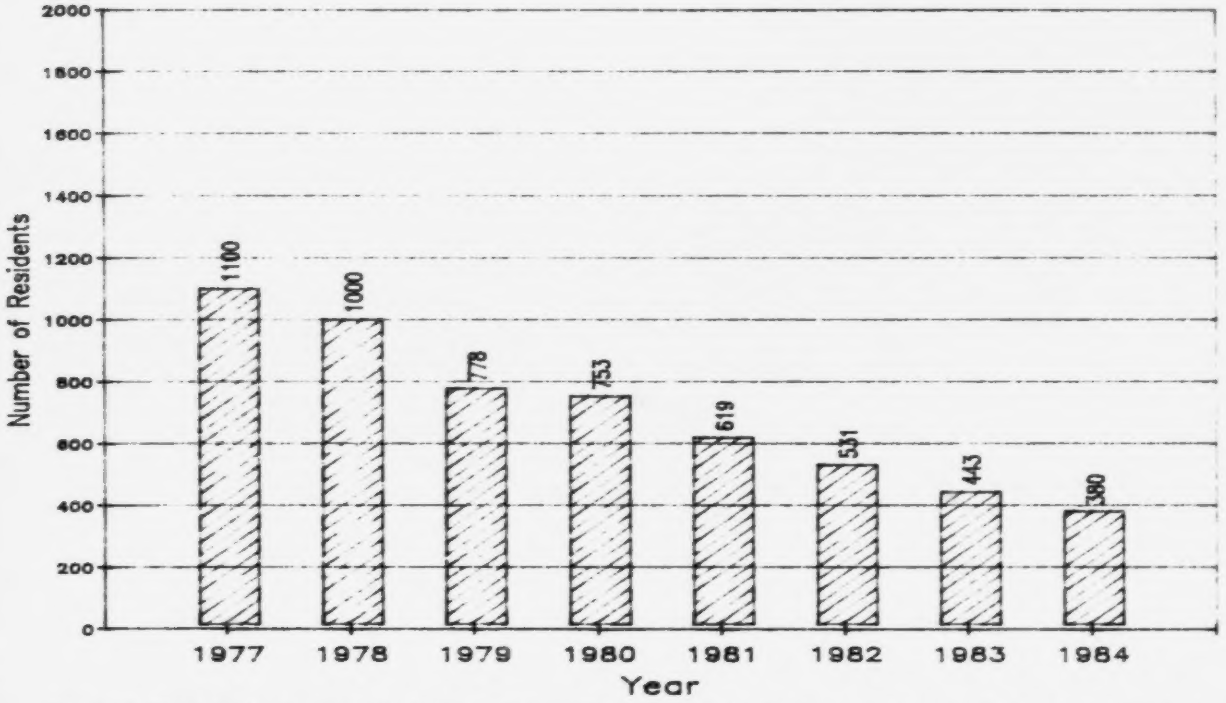
* **Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures**

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

DISTRICT OF COLUMBIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: MR/DD services in the District of Columbia are under the management of the Administrator of the Mental Retardation and Developmental Disabilities Administration in the Department of Human Services. The Mental Retardation and Developmental Disabilities Administration was formed in February 1980. Prior to FY `81, MR/DD services were under the Mental Health Administration.

2. Budget Format: The MR/DD Administration as it appears in the 1985 District of Columbia Operating Budget (Supporting Schedule) has the following subdivisions:

   MR/DD Administration

   - Appropriated Expenditures
   - Non-Appropriated Expenditures
     - Federal Funds
     - Private and Other Funds
     - Intra-District Sales

   (Same funding source categories listed under each of the following subdivisions.)

   Developmental Services Center

   Bureau of Community Services

   Bureau of Habilitation Services

3. Note on Data Sources: Due to lack of detail in the Budget documents, and in some years, the lack of access to any Budget document, expenditure figures for FY 1981-`84 were obtained from George Smith, Deputy Administrator, MR/DD Administration, telephone interviews, 8/21 and 8/22/84; figures for FY 1977-1980 were obtained from Jose Gounder, Mental Health Administration, telephone interview, 8/31/84.

II. INSTITUTIONAL SERVICES

4. Institutional Services include expenditures for D.C.'s one institution, Forest Haven, located in Laurel, Maryland, minus the community program staff costs in FY `78-80 (see Note 7). The average daily population at the facility has been:

FY 1977 - 1,100 (estimate)	FY 1981 - 619
FY 1978 - 1,000 (estimate)	FY 1982 - 531
FY 1979 - 778	FY 1983 - 443
FY 1980 - 753	FY 1984 - 380

(Source: Telephone interview, 8/29/84, with Mrs. Campbell, Medical Records, Forest Haven.)

The District is in the process of phasing-down Forest Haven as a result of the Pratt Court Order of 1978, which ordered the cessation of admissions and the outplacing of 100 residents per year into community facilities.

Total expenditure figures for FY `77-`80 were obtained from Jose Gounder, Mental Health Administration, telephone, 8/31/84. He obtained the figures from the District Comptrollers Office. Figures for FY 1981-`84 were obtained from George Smith (see Note 3).

5. Title XIX figures were obtained from Lee Partridge, Health Care Financing Administration, D.C. Department of Human Resources, telephone interview, 8/28/84. In the 1985 Operating Budget, the federal share of Title XIX is labeled "Non-Appropriated Expenditures--Federal." According to Partridge, the reason for the drop in federal ICF/MR payments beginning in FY `80 is that Forest Haven was found to be out of compliance with federal ICF/MR standards and consequently lost funding. By FY `83, Forest Haven was back in compliance and is now receiving increased federal reimbursement for its operations. Partridge provided gross ICF/MR payments from the HCFA 20-82 Forms. The federal matching rate for D.C. is 50%. The 1984 figure is an estimated amount.

   According to Partridge, the FY `83 ICF/MR figure as provided on the Form 20-82 included, in addition to Forest Haven, reimbursement for two small private community facilities amounting to approximately $700,000 total for the year. Therefore, $700,000 was subtracted from the total ICF/MR figure and moved to Private ICF/MR (see Note 12) to arrive at a net figure for Forest Haven only.

   The state share of Title XIX is in the State General Fund line.

6. Other Federal Funds include "Title I" Education funds. Figures were provided through the office of Dr. Ettyce Moore, Title I Program, Department of Human Services (telephone interview with George Smith, 9/6/84). In 1981, three positions were funded at Forest Haven; since 1982, there have been only two positions. Exact figures prior to 1981 were not available. Smith said to estimate $78,000 for each year.

III. COMMUNITY SERVICES

7. Community Services includes funding for the "Bureau of Community Services" (FY `81-`84) and the "Developmental Services Center" (FY `77-`84). The "Developmental Services Center" provides day programs for an average of 100 adults who require intensive interdisciplinary services because of the complexity of their needs; for example, the dually diagnosed emotionally disturbed and mentally retarded person is served at the Center. In FY `77-`84, the Center was under the Mental Health Administration. The "Bureau of Community Services" provides residential and day programs for residents who have been moved out of Forest Haven, as well as for other MR/DD District residents.

   In addition, an estimated portion of the Forest Haven budget in FY `78, `79, and `80 is included under Community Services. At the time the Pratt Court Order was delivered in 1978, there were no community residential programs for DD clients. In order to accommodate the Pratt Order, a number of staff people at Forest Haven were assigned to developing community placements for Forest Haven residents who were scheduled to be moved. Eventually in 1980, the Bureau of Community Services was formed and these staff positions were formally moved out of Forest Haven. George Smith (telephone interview, 8/28/84) estimated 3-4 staff at Forest Haven were involved in community activities during part of FY `78 and several more in the following years. Smith estimated expenditures for these activities at the following levels:

   FY 1978 - $ 50,000
   FY 1979 - 150,000
   FY 1980 - 350,000

   These amounts (all General Revenue) were subtracted from Forest Haven expenditures and considered Community Services expenditures.

8. State General Funds are labeled "Appropriated Expenditures" in the budget. According to Smith, the Bureau of Community Services and the Developmental Services Center are 100% General Fund financed.

9. Title XIX reimbursed day programs are not included in this analysis. Lee Partridge, Health Care Financing Administration, estimates that $4,200,000 will be spent in FY `84 for Title XIX reimbursed medically supervised day programs (telephone, 8/28/84).

10. Title XX. None of the Title XX/Social Services funds were used for DD client services in the District according to Smith (telephone interview, 8/22/84).

11. Other Federal Funds are estimates of Title I/Chapter I education funds going to the Developmental Services Center. Exact figures were not retrievable, so George Smith (telephone interview, 9/6/84) suggested we estimate it at $15,000 each year since the budget for the Center has been at about the same level (around $800,000) each year.

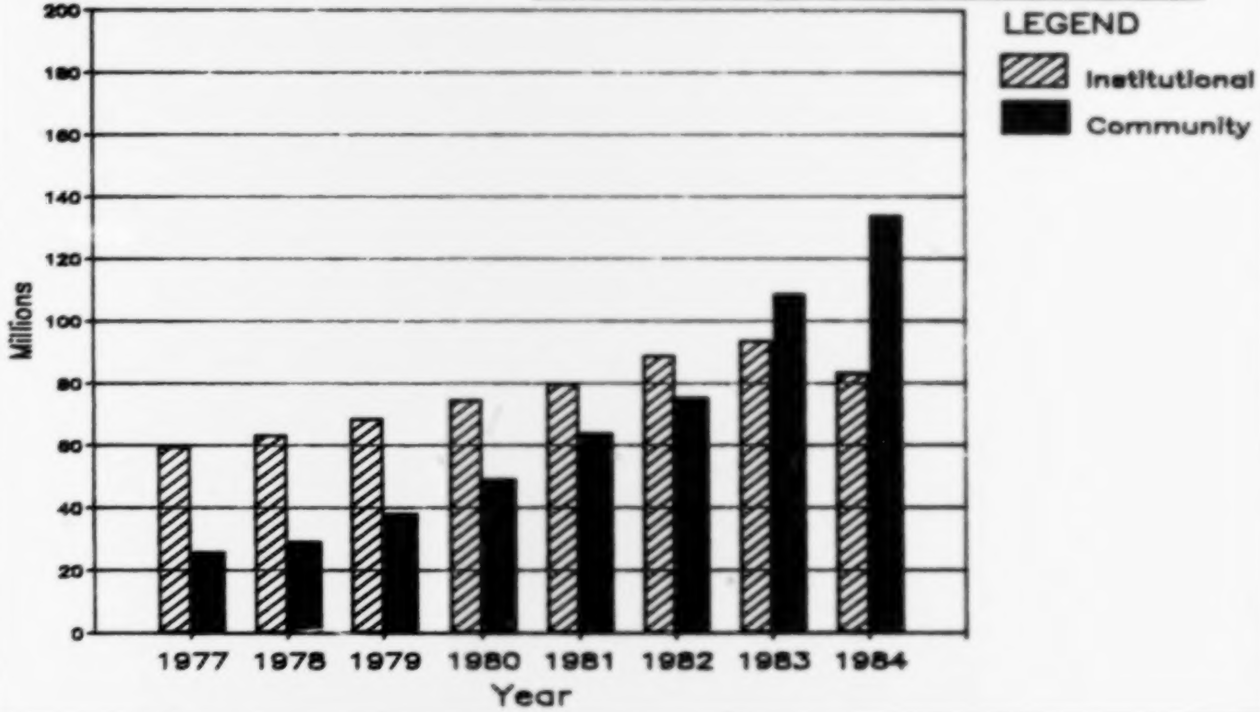
12. Private ICF/MR. All community-based Title XIX funded residential services in the District are contracted to and provided by private agencies. According to Lee Partridge, Health Care Financing Administration, the first two facilities opened in FY `83. Estimated expenditures for FY `83 and `84 were provided by Lee Partridge (8/28/84).

FLORIDA
STATE PROFILE

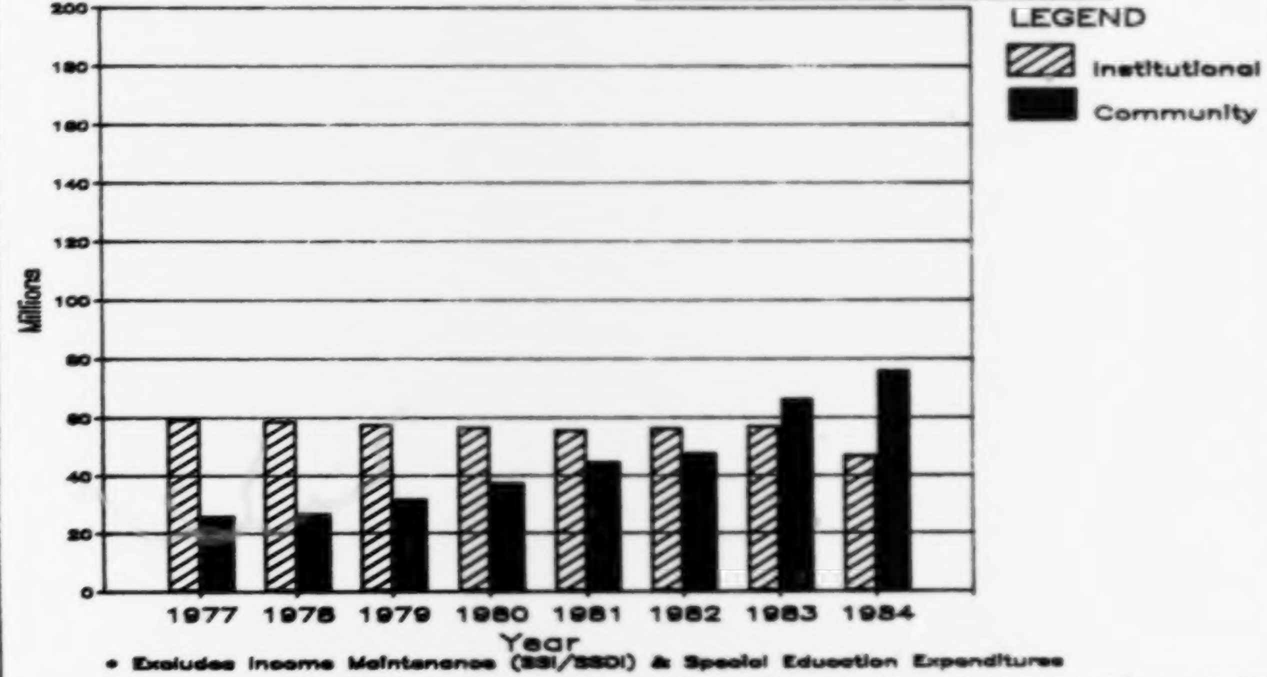
FLORIDA

Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

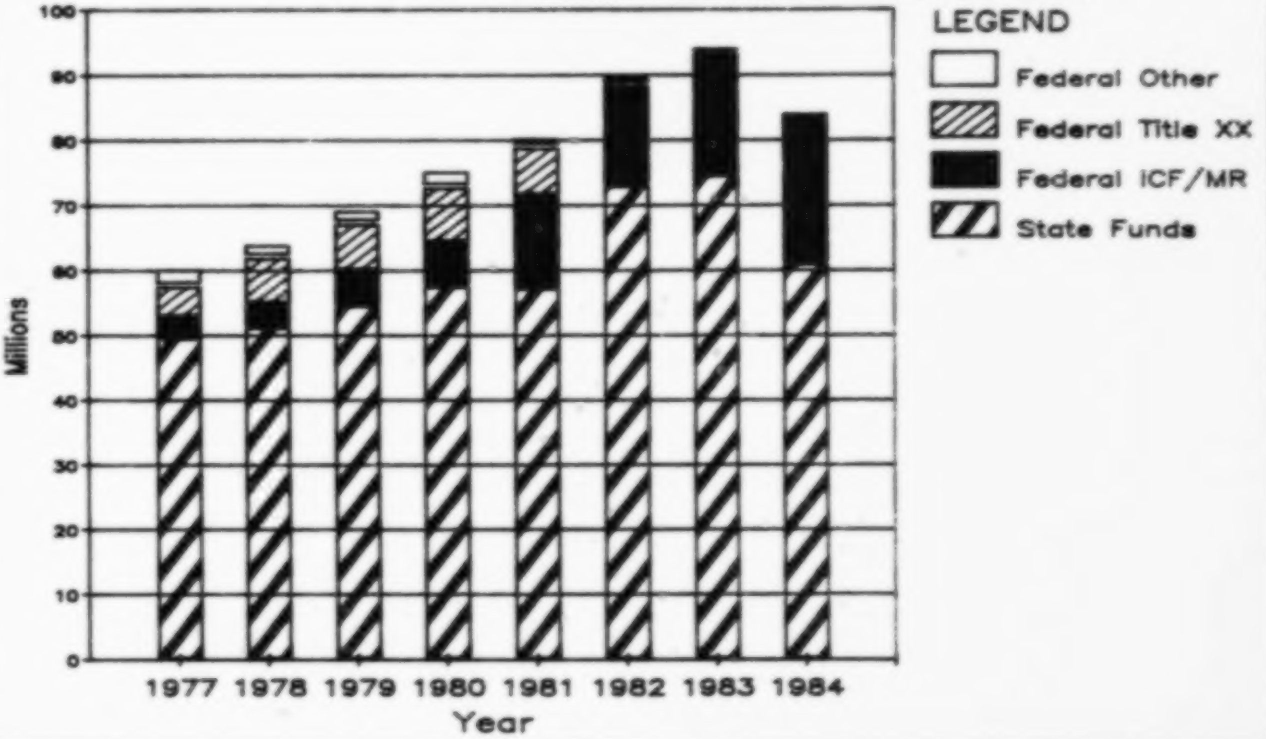


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

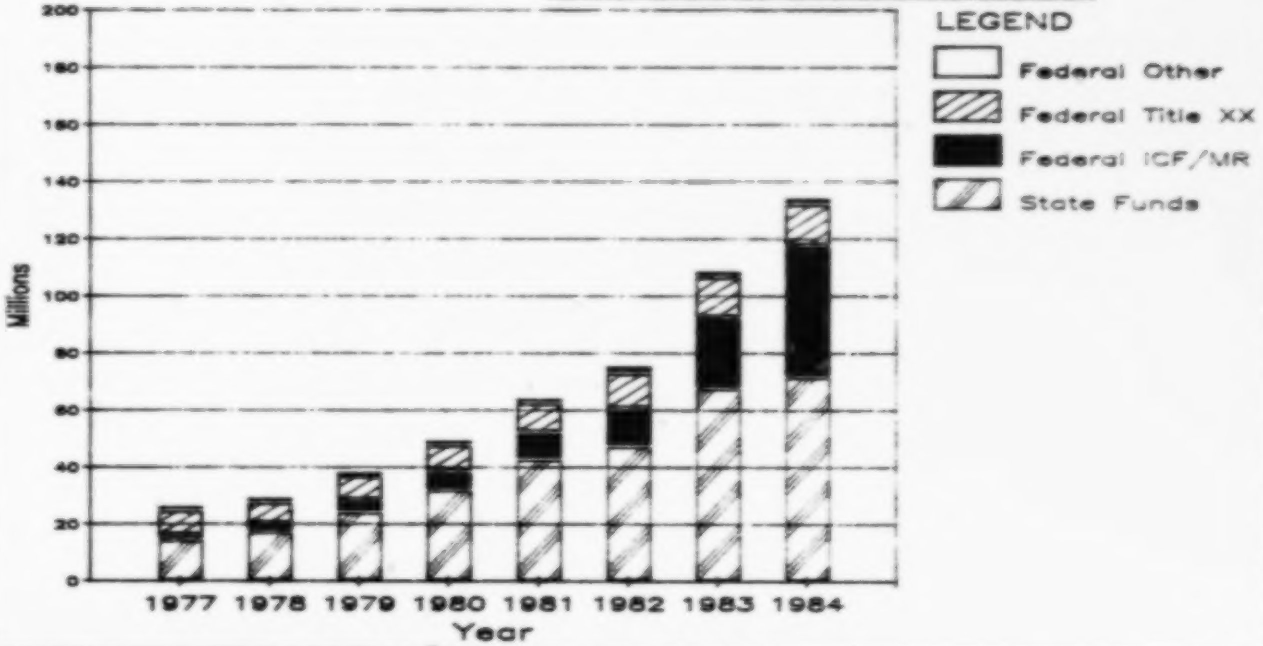
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



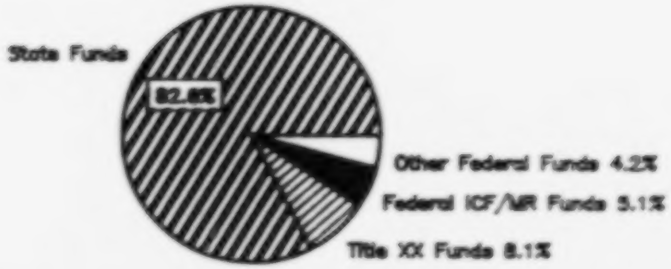
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



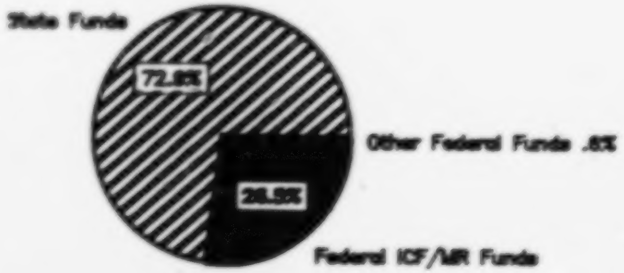
FLORIDA

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

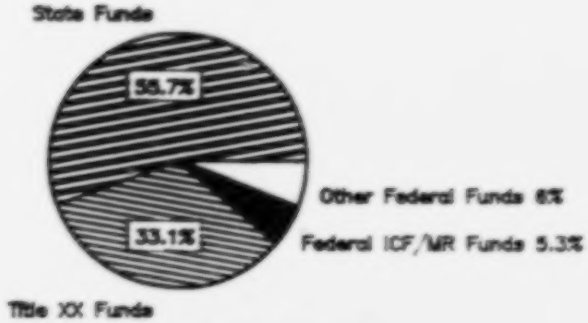
FY 1977 & 1984



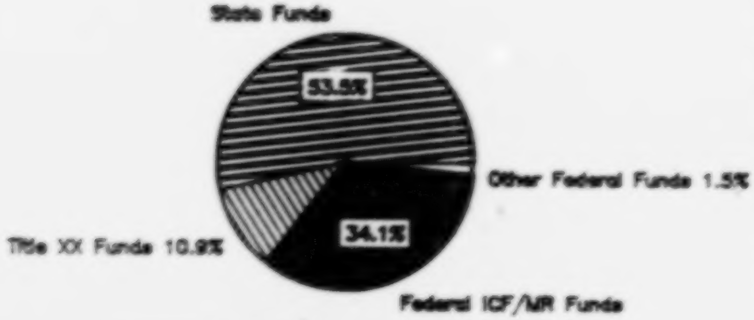
Institutional: 1977 Total Funds—$80.2 Million



Institutional: 1984 Total Funds—$84.0 Million



Community: 1977 Total Funds—$26.3 Million

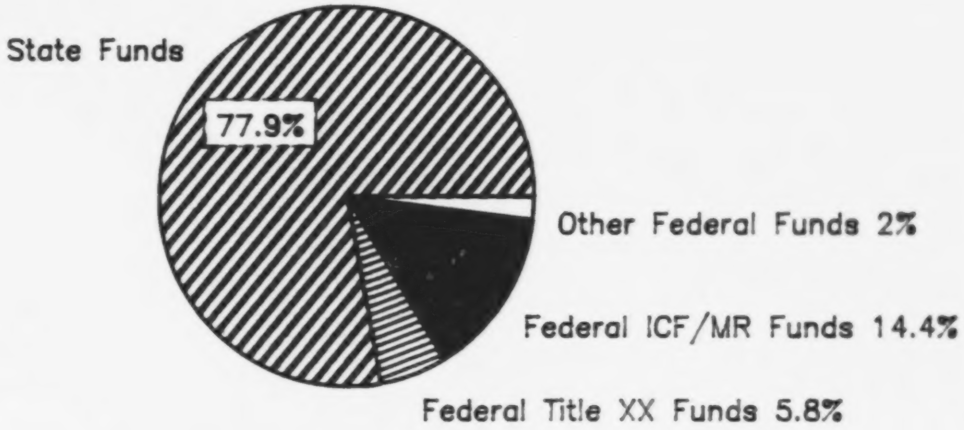


Community: 1984 Total Funds—$134.3 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Hemp, & Howes, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

FLORIDA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

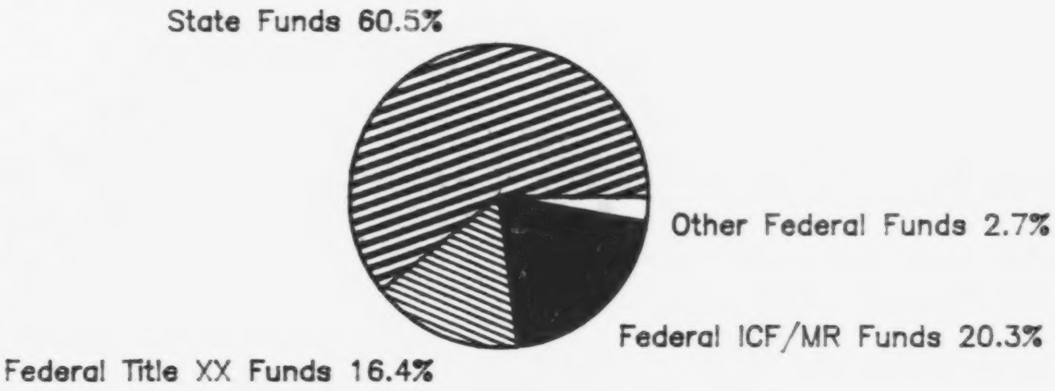
Institutional Services Funds



Total Institutional Dollars: $617 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



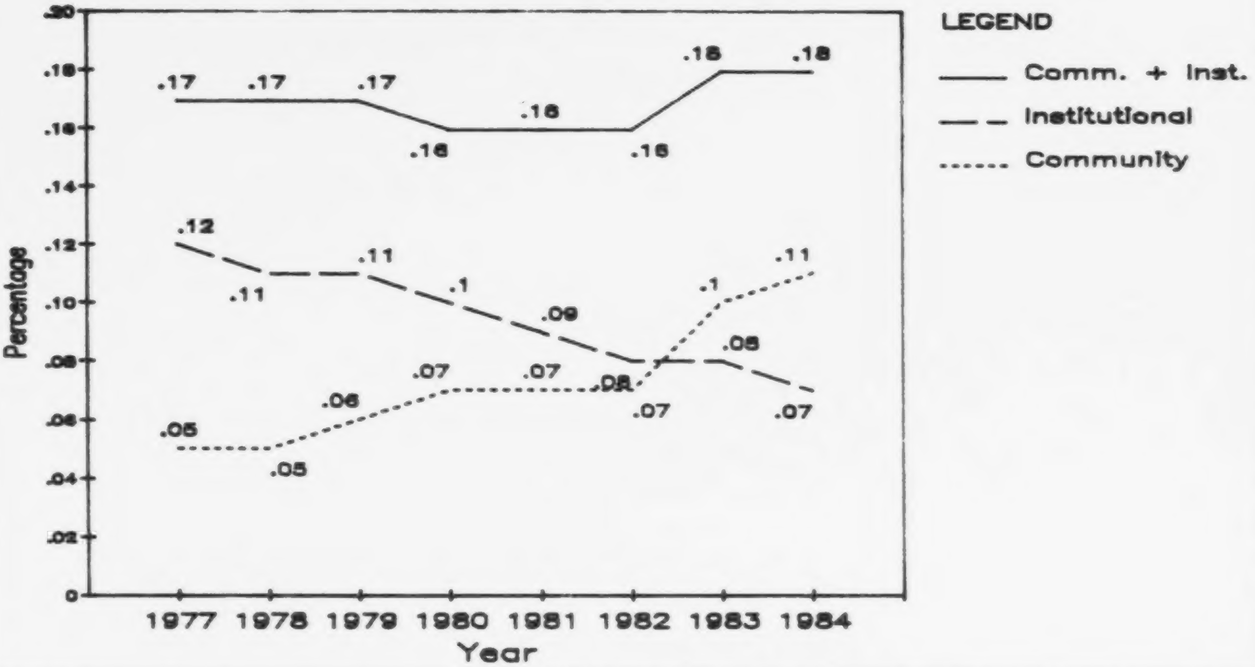
Total Community Dollars: $527 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA

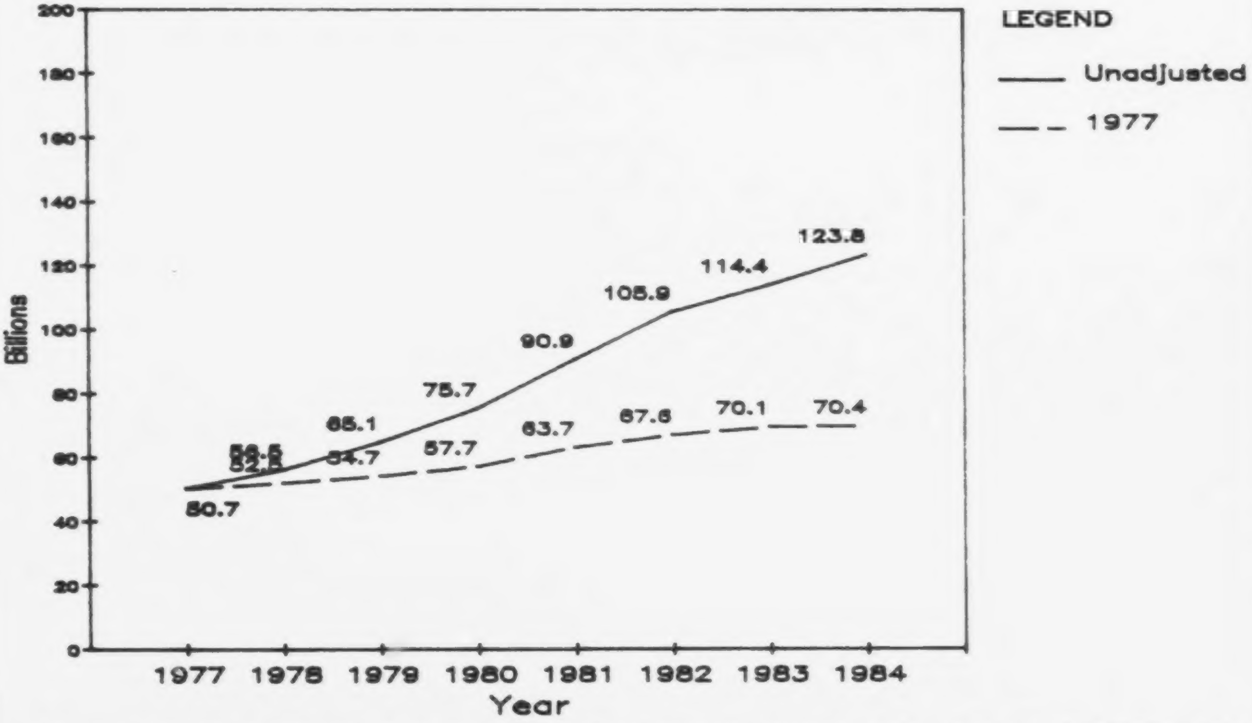
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

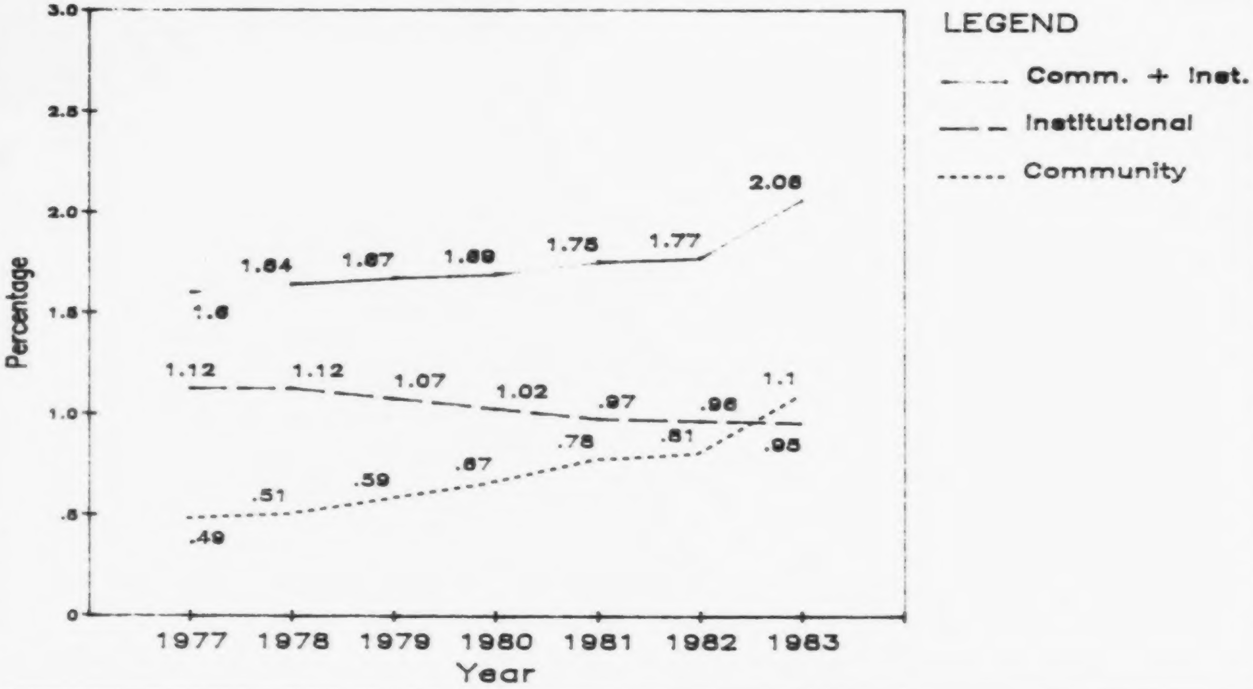
FY 1977–1984



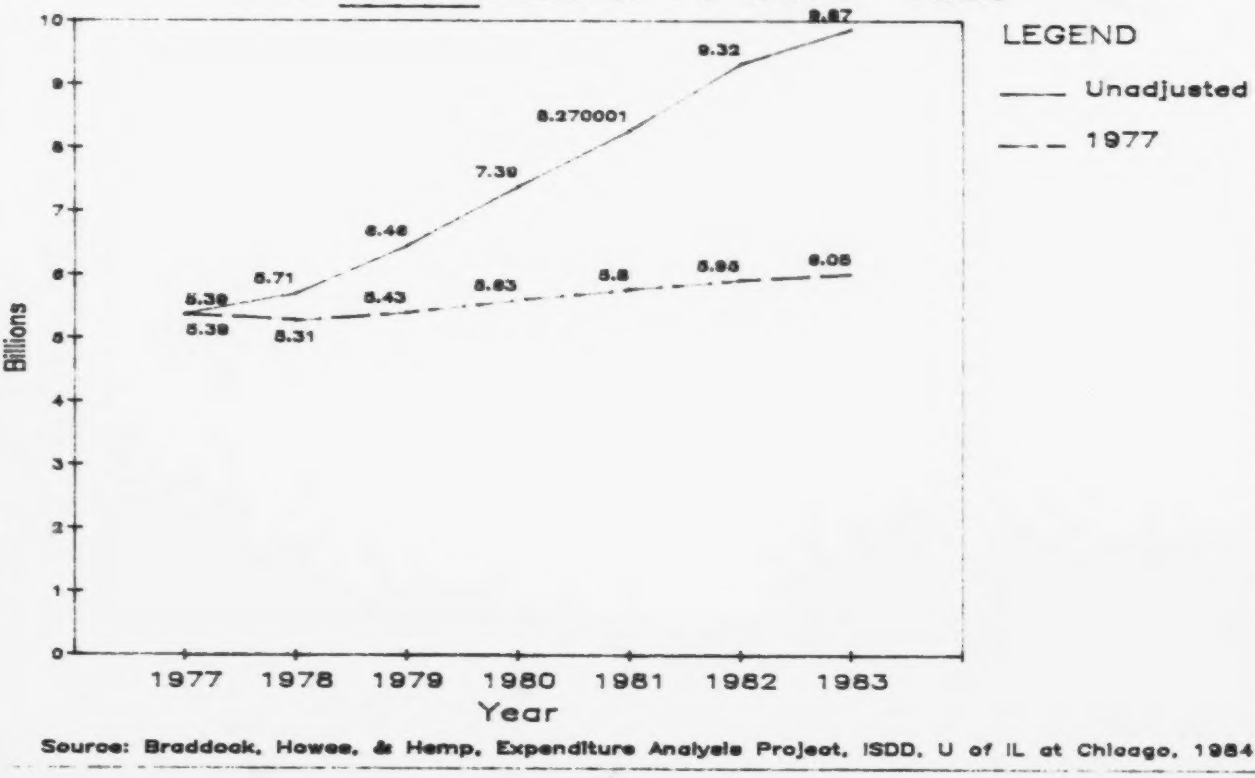
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



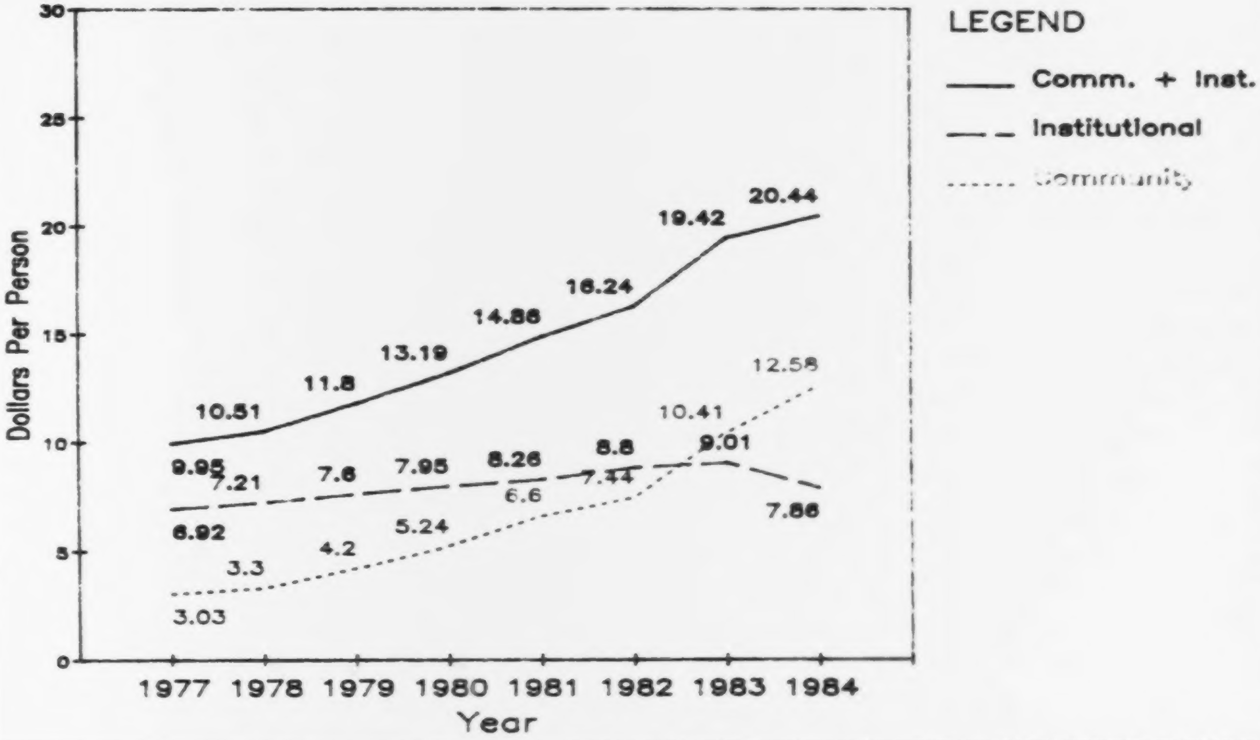
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



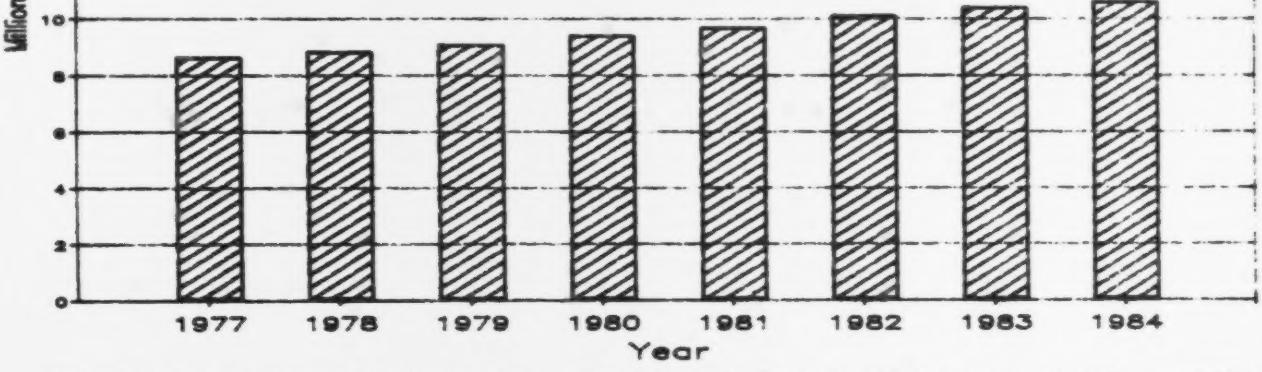
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

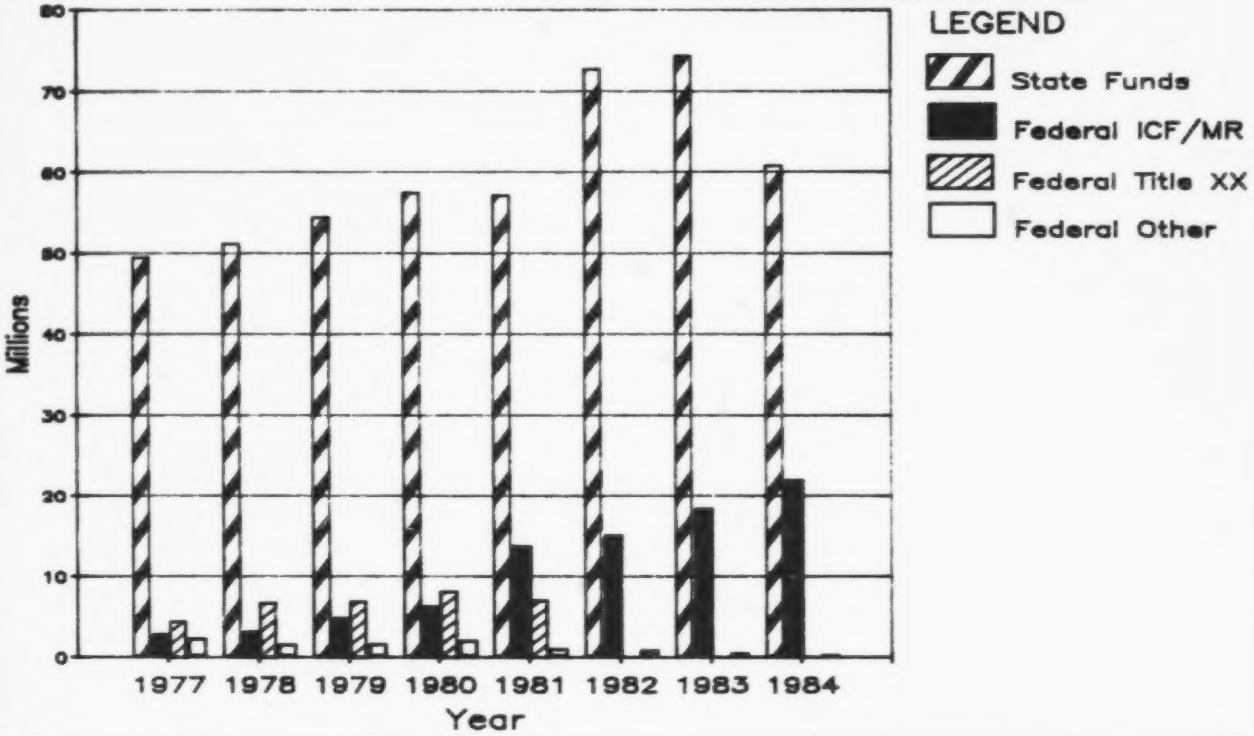


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

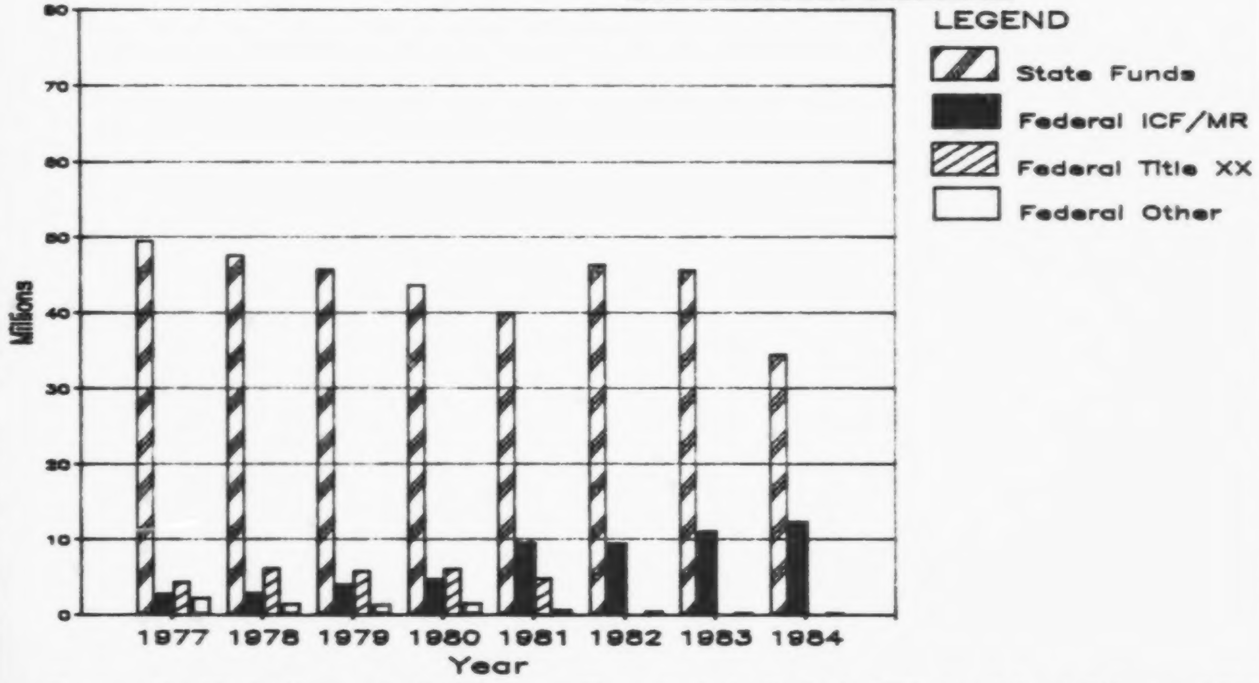
FLORIDA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, ***In Unadjusted Dollars***



FY 1977–1984, ***In 1977 Dollars***

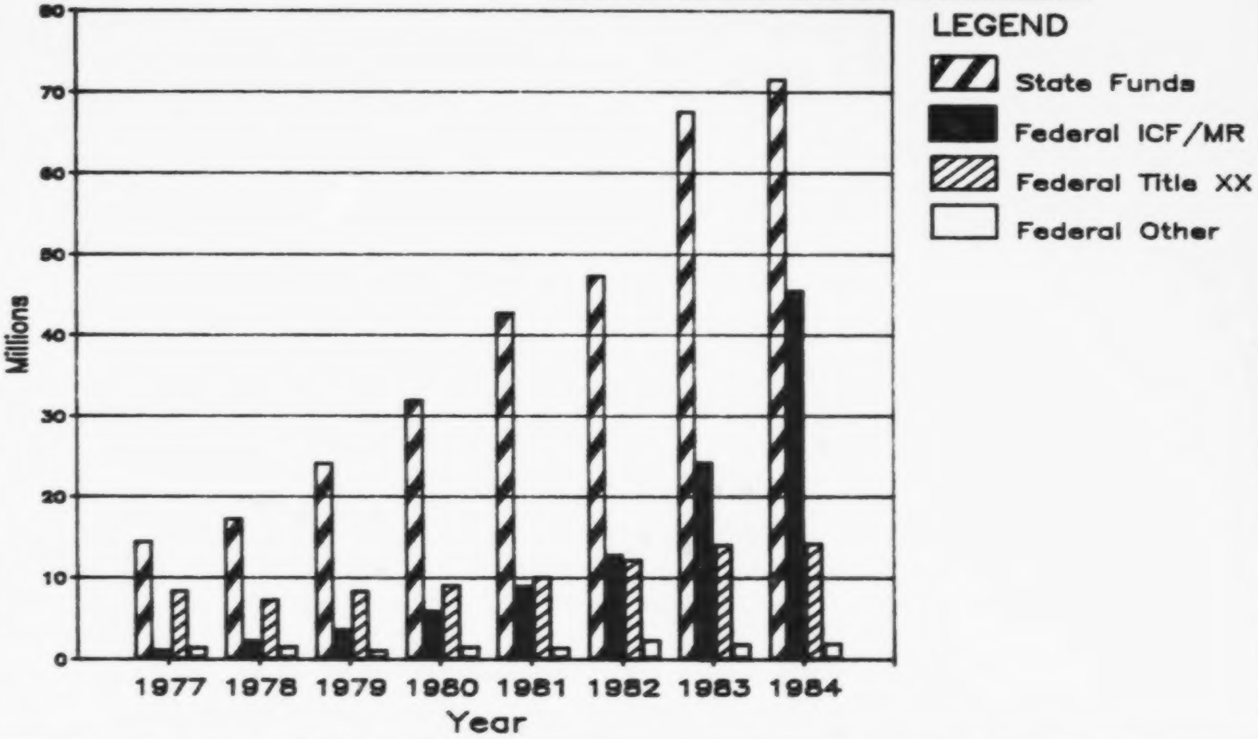


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

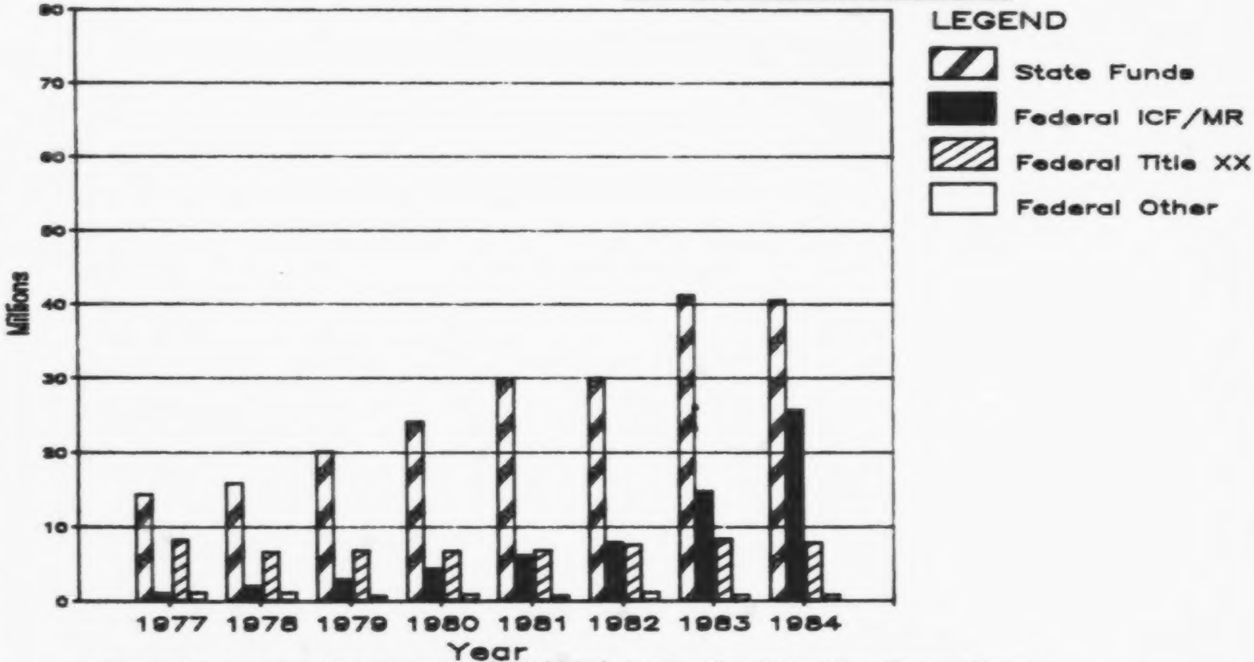
FLORIDA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



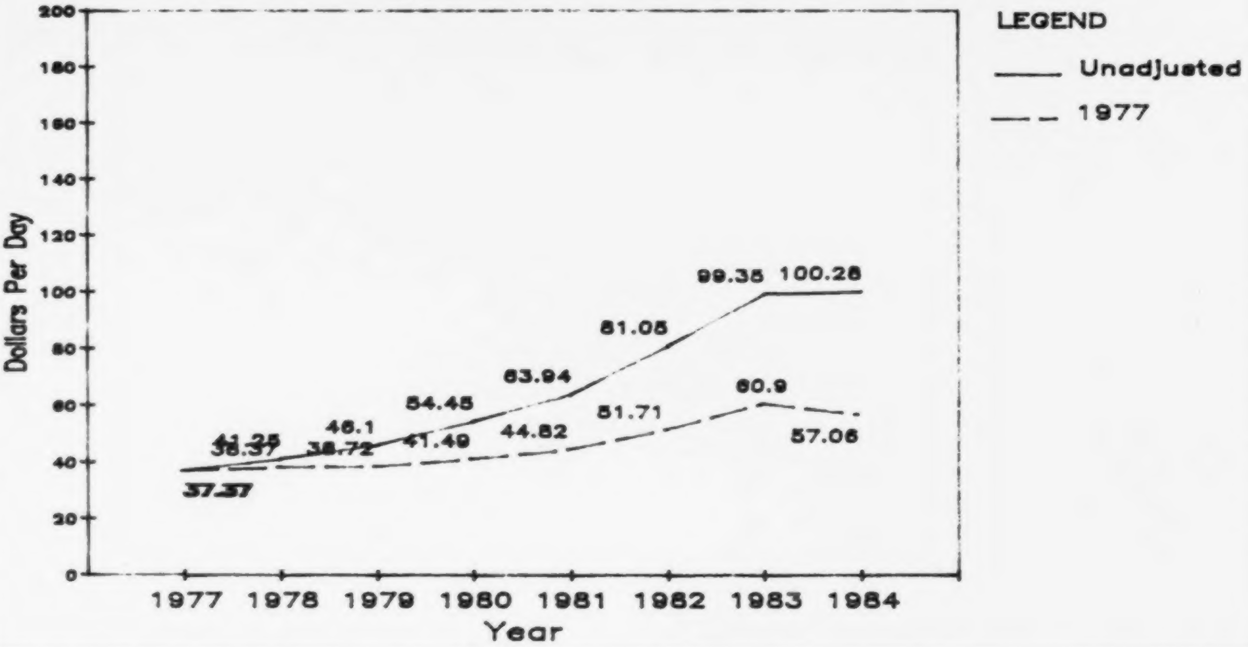
FY 1977–1984, *In 1977 Dollars*



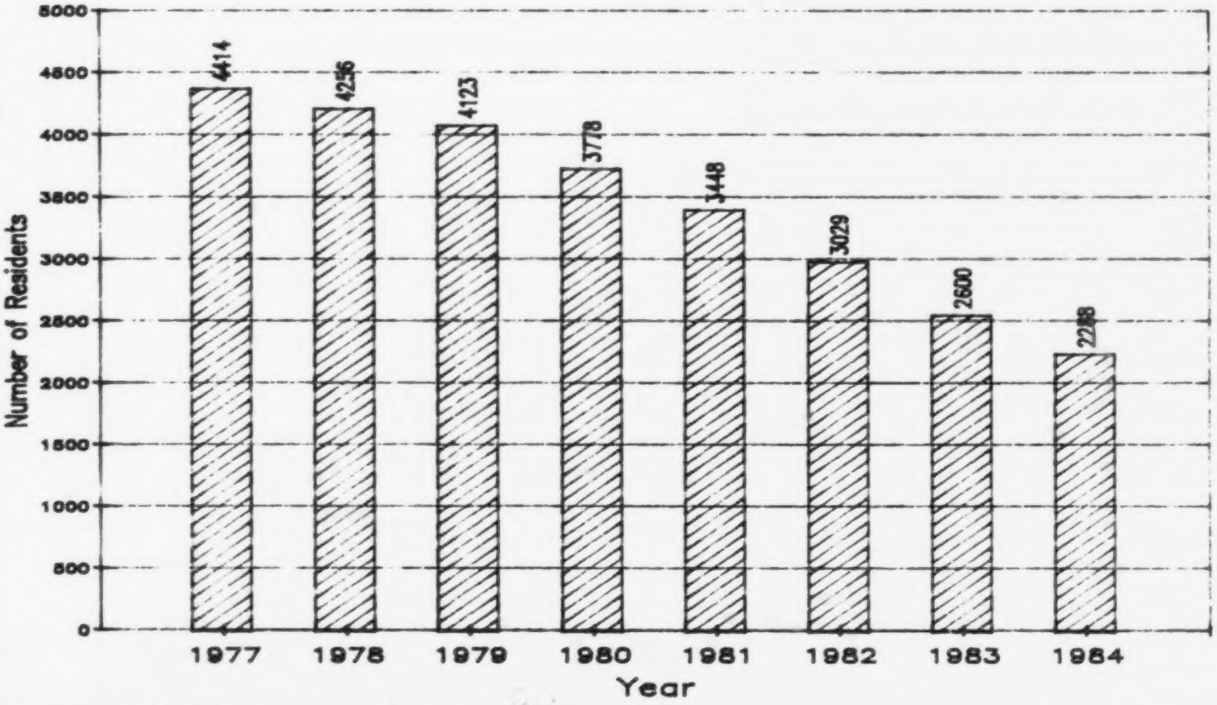
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

FLORIDA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for developmentally disabled persons in Florida are administered by the Developmental Services Program Office which is located in the Department of Health and Rehabilitative Services.

2. Budget Format: The Florida MR/DD budget format remained fairly consistent between FY 1977-84. In FY `77, the budget is presented in the following format:

Retardation Services

Salaries and Benefits
Other Personal Services
Expenses
Operating Capital Outlay
Food Products
Start-up Funds Group Homes
Grants and Aids
Special Categories-Purchased Client Services
Special Categories-Purchased Client Services Epilepsy
Special Categories-Purchased Client Services Cerebral Palsy
Special Categories-Developmental Training Services
Special Categories-Community Residential Services
Special Categories-ICF/MR (Community)

Retardation--Institutions

Salaries and Benefits
Other Personal Services
Expenses
Operating Capital Outlay
Food Products

In subsequent budgets, additional program lines were added. The 1979-81 Biennial Budget had--in addition to the categories in the prior year's budget--the following program lines:

Retardation Services

Florida Special Olympics
Community Facilities Renovation
Lump Sum Replacement Facilities
Start-up Funds: ICF/MR
Community Residential Training
Contract Casework Services
Purchased Client Services-Autism
Independent Family Living
Developmental Disabilities
Involuntary Admissions Hearings

Retardation-Institutions

Grants and Aids
Special Categories: Purchased Client Services Community
Developmental Cluster

In the `81-83 and `83-85 Biennial Budgets, the program office name was changed from Retardation to Developmental Services. The only new budget lines added were:

Aid to Local Governments-Community Retardation services (under Developmental Services)

Special Categories-Client Work Program (under Developmental Services Institutions).

Every year, each of the program lines in the budget (i.e. Salaries and Benefits, Other Personal Services, Expenses, etc.) had the following funding source breakdowns:

General Revenue Fund
Grants and Donation Trust Fund
Operation and Maintenance Trust Fund
Federal Aid Trust Fund.

The "Grants and Donations Trust Fund" is a general category for small federal programs and project grants. In this analysis, the funds in this category were relabeled Other Federal Funds for our analysis, but the amounts remained the same. The "Operations and Maintenance Trust Fund" as it pertains to the Developmental Services Program consists of Title XIX funds. The "Federal Aid Trust Fund" contains Title XX funds.

3. Note on Data Sources: Florida converted from an annual to a biennial budget in the FY 1979-81 biennium. Expenditure figures were obtained from the following Governor's Executive Budget documents:

1977-`78 Annual Budget - revised estimates for FY `77.
1979-`81 Biennial Budget - FY `78 actual, and FY `79 revised.
1981-`83 Biennial Budget - FY `80 actual, and FY `81 revised.
1983-`85 Biennial Budget - FY `83 adjusted estimate, and FY `84 Governor's Recommendation.

FY `83 figures were updated to "expenditures" and FY `84 to "appropriations" by the Developmental Services Program Office, Grants Services Administrator, Frank Morgan (telephone interview, 9/13/83). FY `82 actual expenditures also were provided by Morgan's office (telephone interview with Mary Dozier, 10/21/83). All figures in this analysis were reviewed and confirmed by the Program Office Director in correspondence dated 2/1/84.

II. INSTITUTIONAL SERVICES

4. Institutional Services from 1977-83 consisted of six Sunland Centers located in Tallahassee, Marianna, Gainesville, Fort Myers, Miami and Orlando. The Sunland Center at Tallahassee was closed in 12/83, so as of FY `84, there are only 5 Sunlands. The Department is also in the process of phasing down the center at Orlando and will start phase-down of the Fort Myers Center in 1985. Also included in Institutional Services expenditures are two secure facilities for retarded defendants/offenders at Chattahoochee. During the last ten years, the populations at the Sunland Centers have been reduced 45%. The total aggregated MR populations at the Sunlands and the Retarded Defendant Programs have been:

FY 1977 - 4,414
FY 1978 - 4,256
FY 1979 - 4,142
FY 1980 - 3,780
FY 1981 - 3,428
FY 1982 - 3,031
FY 1983 - 2,557
FY 1984 - 2,478

(Source: Sunland Centers: `77 -`82 are from budget documents, `83-`84 from Frank Morgan, telephone interview, 8/14/84. Retarded Defendant Program: `79-`84 from Frank Morgan, telephone interview, 8/14/84.)

5. State General Funds: The expenditures recorded under each of the many program lines in the budget that were identified as being made from the General Revenue Fund were summed each year to arrive at the figures recorded in the State General Fund line of our analysis. The state share of Title XIX, ICF/MR expenditures is included in the General Fund.

6. Title XIX is labeled in the budget documents as "Operations and Maintenance Trust Fund."

7. Title XX. Title XX is labeled "Federal Aid Trust Funds" in the Florida budget. The state matching funds are in the General Fund line. These funds were used to provide day programming to institutional residents on institutional grounds, according to Margaret Hargrove, head of the Title XX program in the Developmental Services Division (telephone interview, 11/4/83). Florida started using Title XX for these services about 1974 and discontinued use in FY `82, primarily because they had other funding, namely Title XIX, in sufficient quantity to take over support of the programs. "Directors of Programs and Services," who were supported by Title XX at the Sunland Centers reported directly to the DHRS District Office Administrators, who were in charge of all community based services operations. Although housed at the Sunland Centers, these Title XX Directors did not report to the Superintendents of the institutions.

8. Other Federal Funds. Other federal funds are labeled "Grants and Donations Trust Funds" in the Budget and include, primarily, small federal programs and project grants.

III. COMMUNITY SERVICES

9. Community Services includes funding for the eleven District offices which administer Community-based services, as well as the Community day and residential programs.

10. Title XIX. Almost all of the community-based ICF/MR's in Florida are privately run. According to Bill Wendt, ICF/MR coordinator (telephone interview, 10/26/83), there are presently 35 community-based ICF/MR's, of which only 3 are state operated. The Department contracts with private vendors to operate the ICF/MR's, and the expenditures for the program (i.e. the contractual payments to the vendors) are carried in the budget of the Developmental Service Program. None of the homes are funded directly by the Medicaid agency. All expenditures flow through the Developmental Services Program. Therefore, because they are part of the Developmental Services budget, the expenditures are recorded in this line rather than separately under the Private ICF/MR line as is done in states where the funds flow directly from the Medicaid agency to the private providers. The newest community residential model in Florida is called a "cluster development" which are Title XIX funded homes built in a residential neighborhood. There are 3 homes per cluster and 8 residents per home.

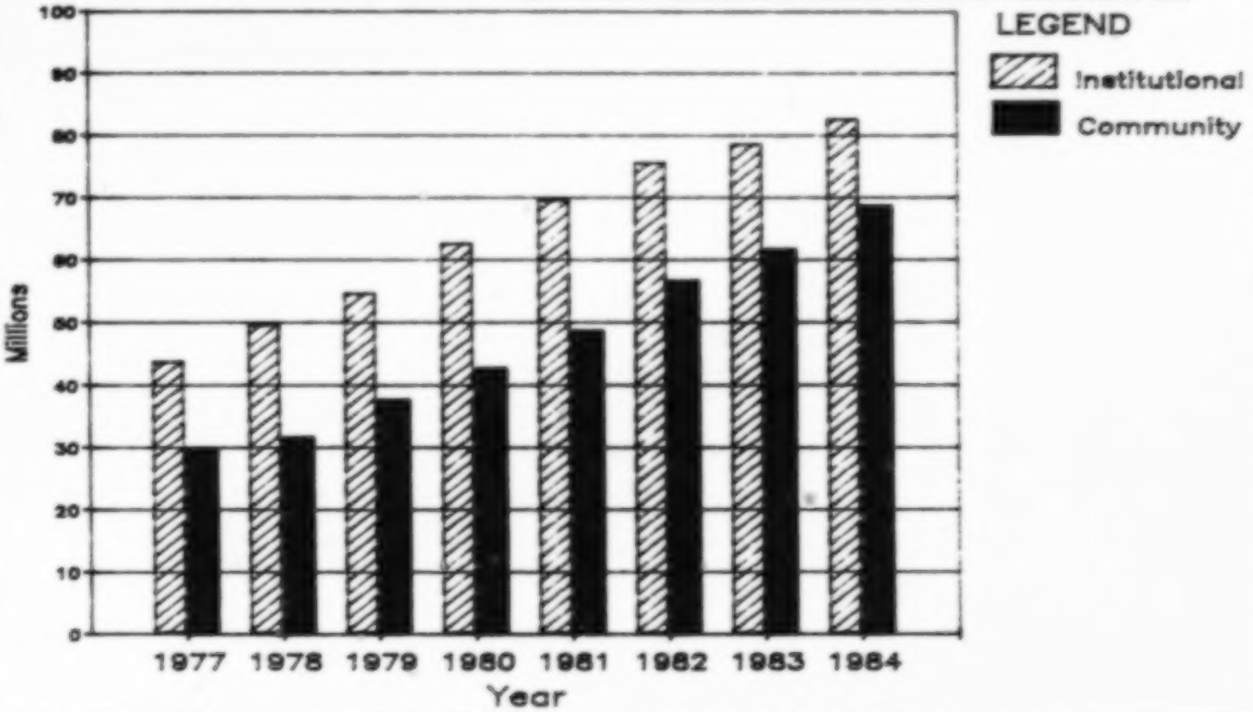
    In addition to the private ICF/MR's in FY `84, there are $8,900,000 of federal funds for Community Care Waiver service.

11. Private ICF/MR. See Note 10.

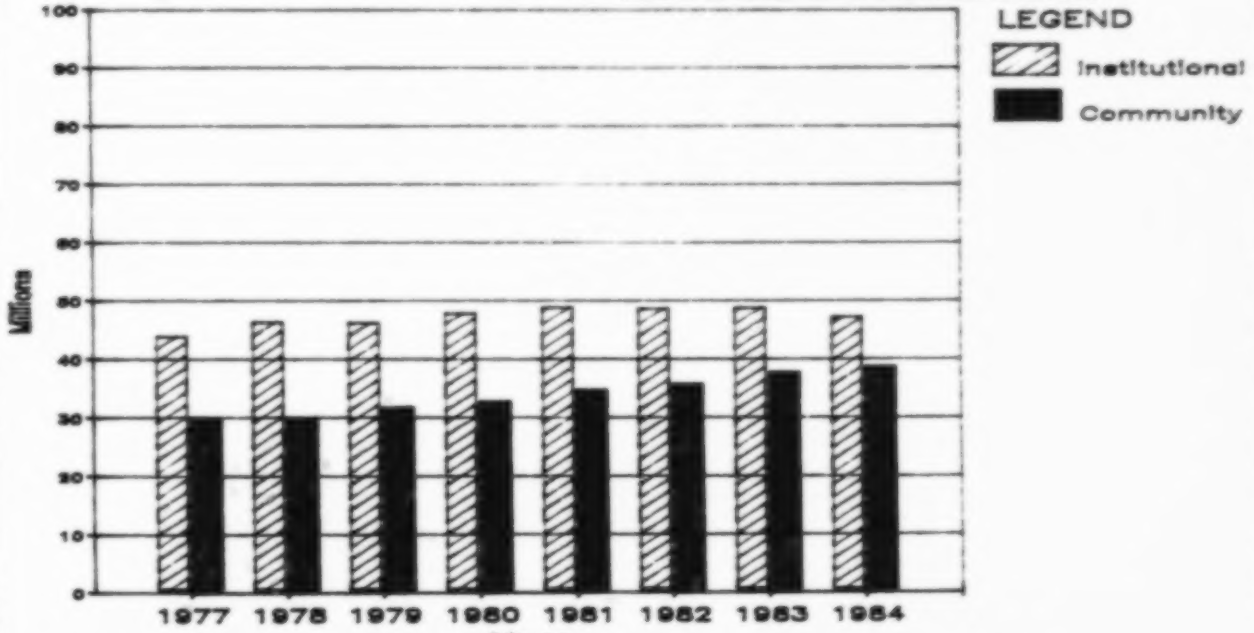
GEORGIA
STATE PROFILE

GEORGIA

Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

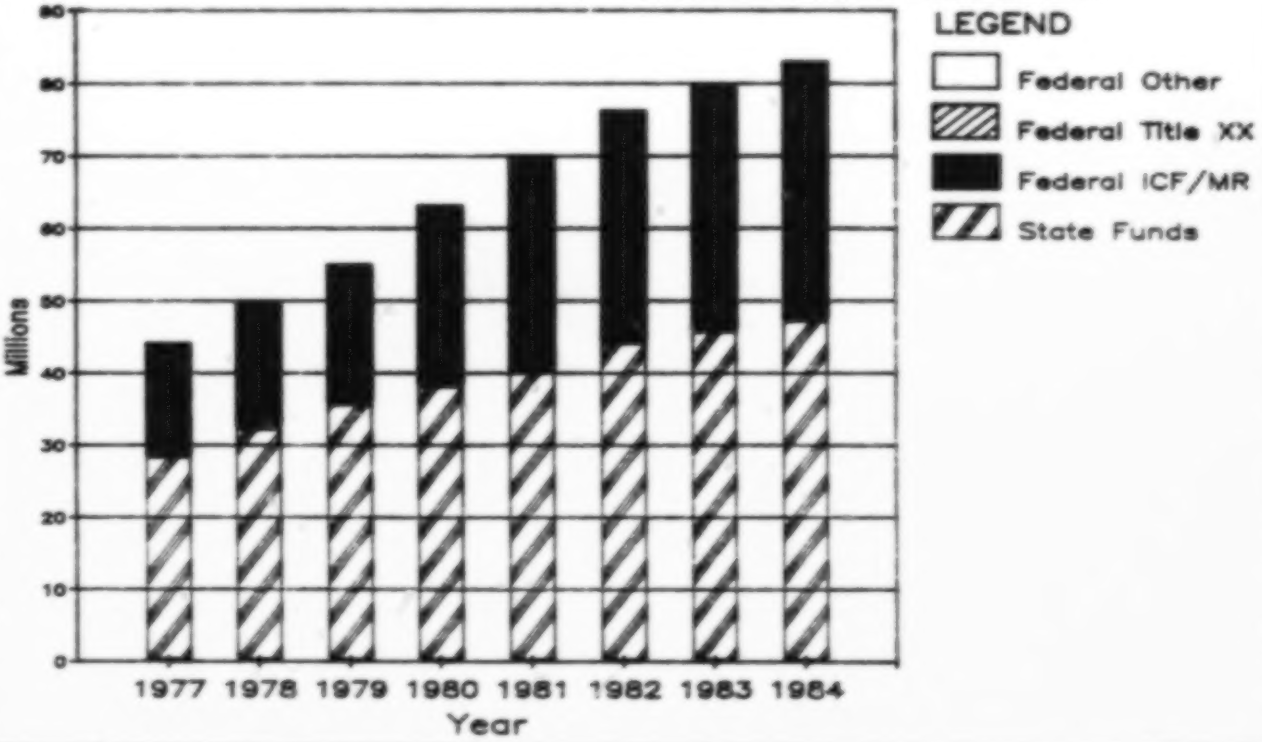


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

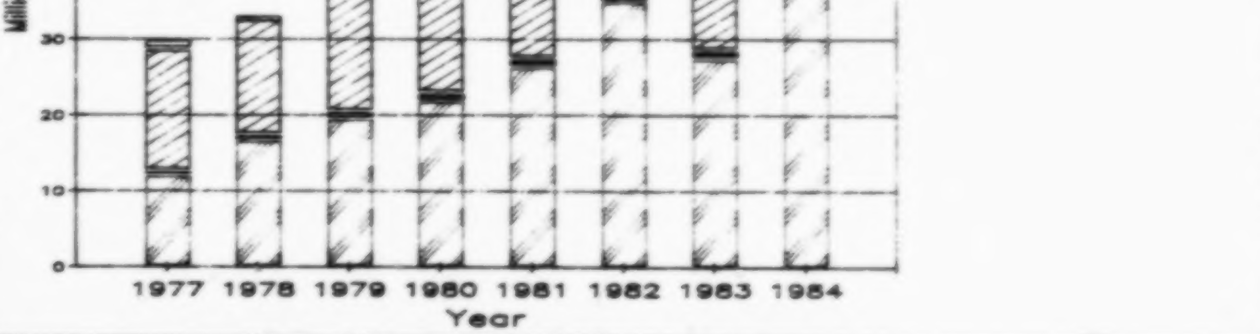
GEORGIA

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

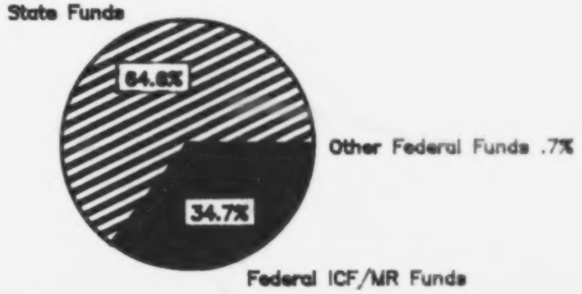


GEORGIA

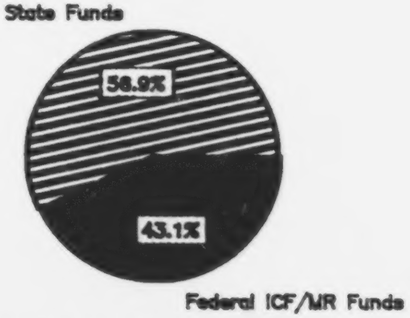
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



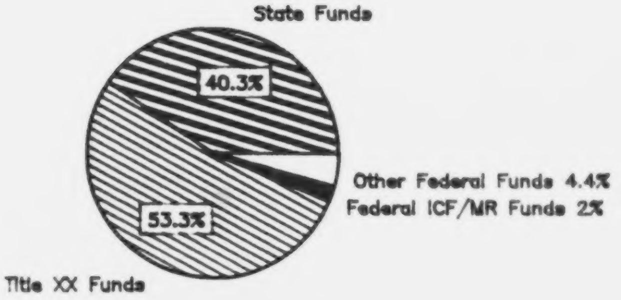
GEORGIA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



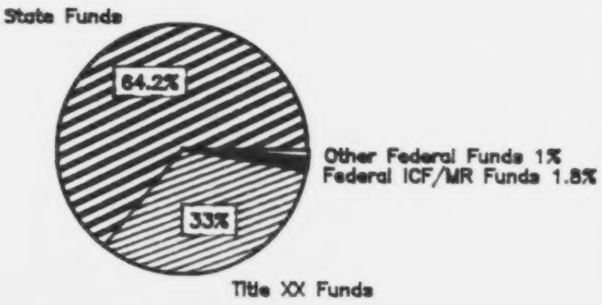
Institutional 1977: $44 Million



Institutional 1984: $83 Million



Community 1977: $30 Million

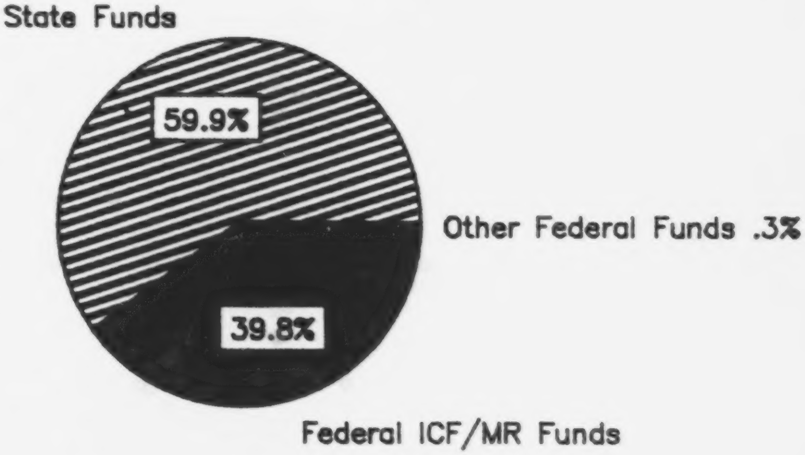


Community 1984: $69 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

GEORGIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

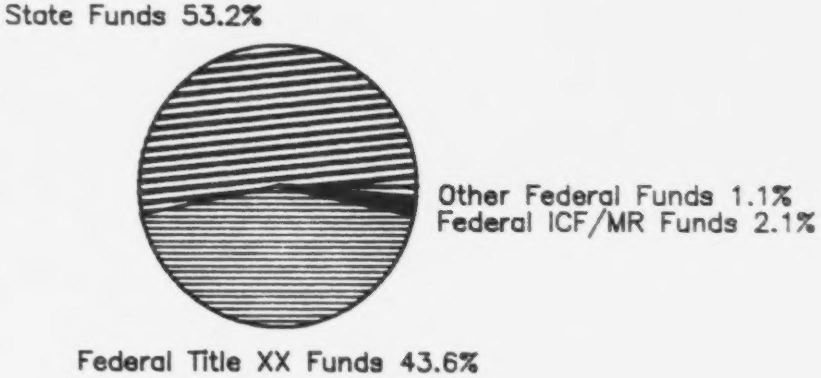
Institutional Services Funds



Institutional Total: $552 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

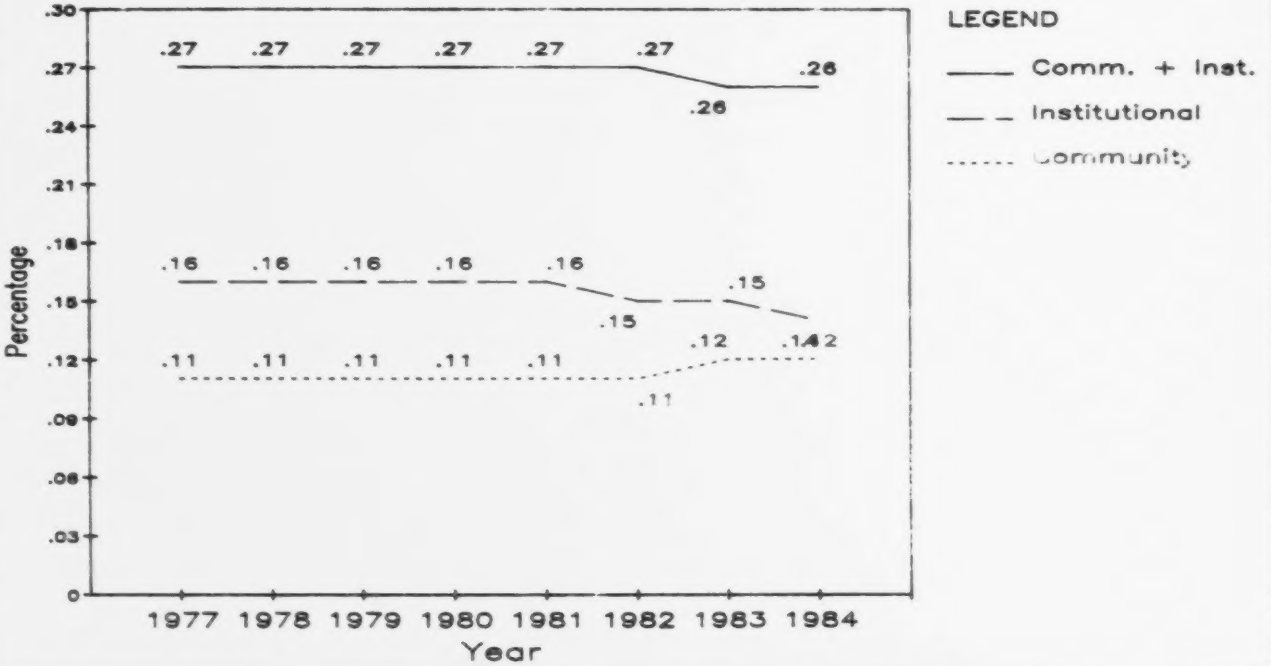


Community Total: $382 Million

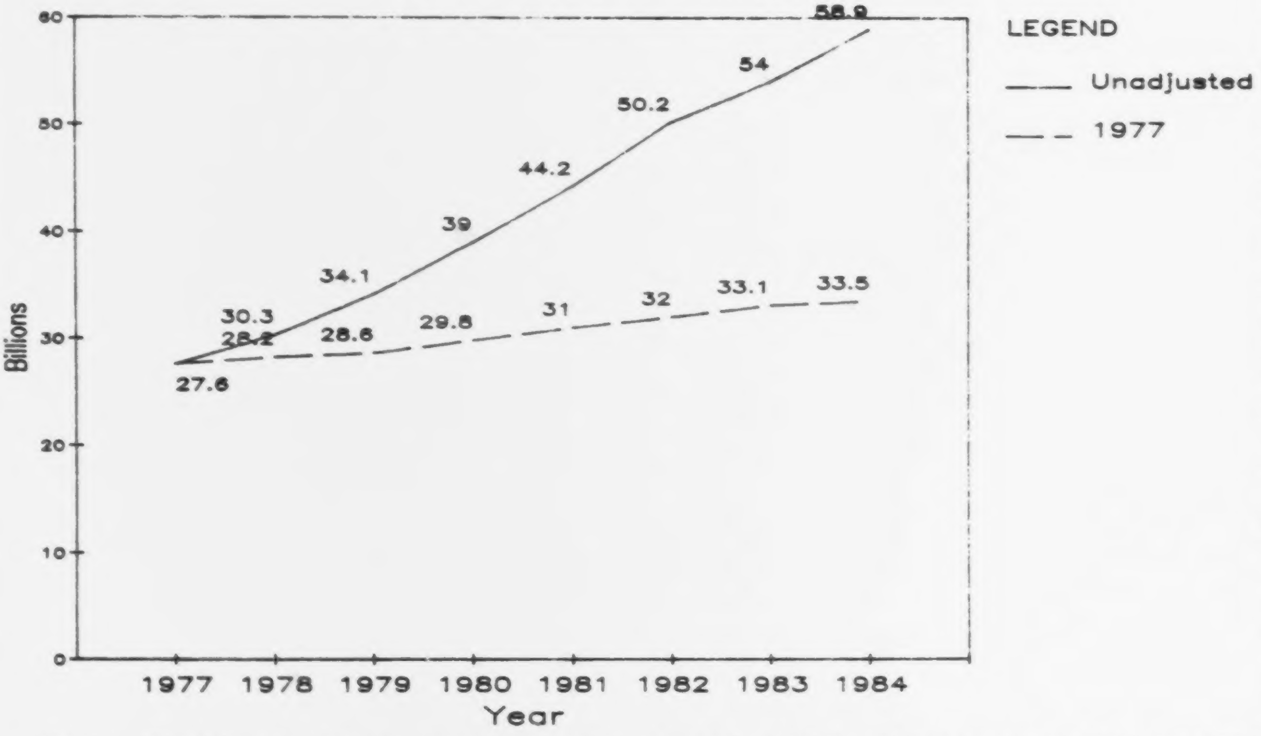
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



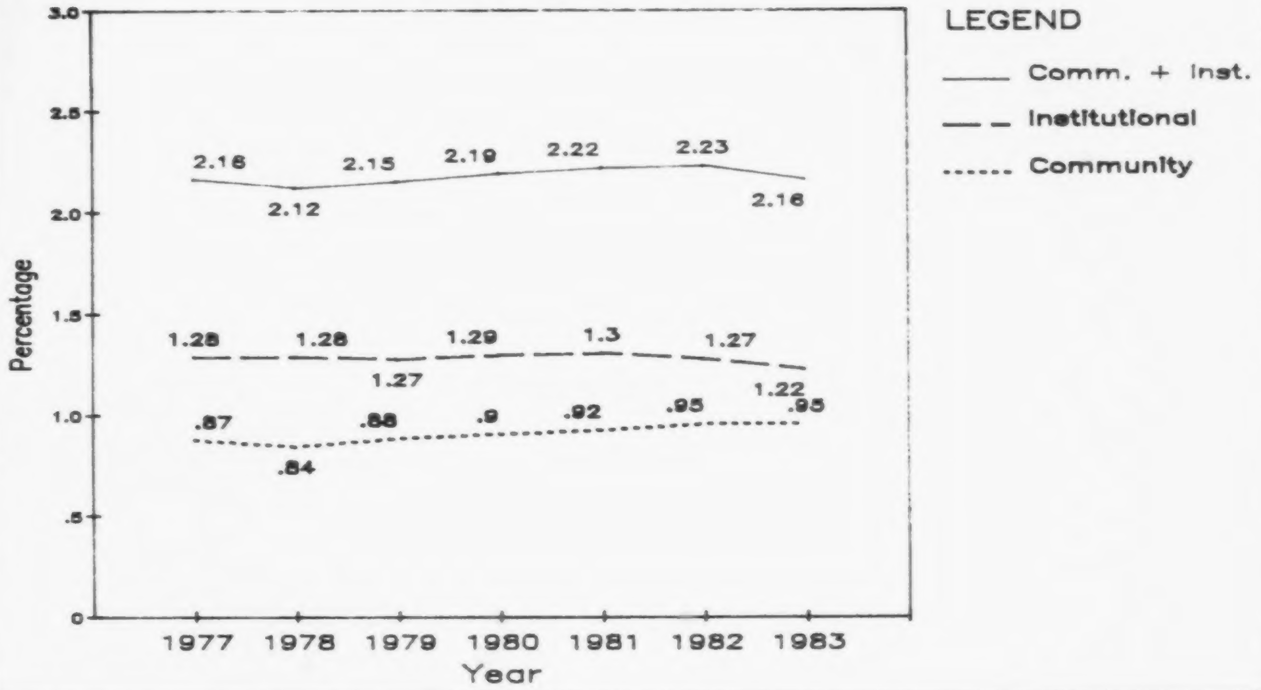
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



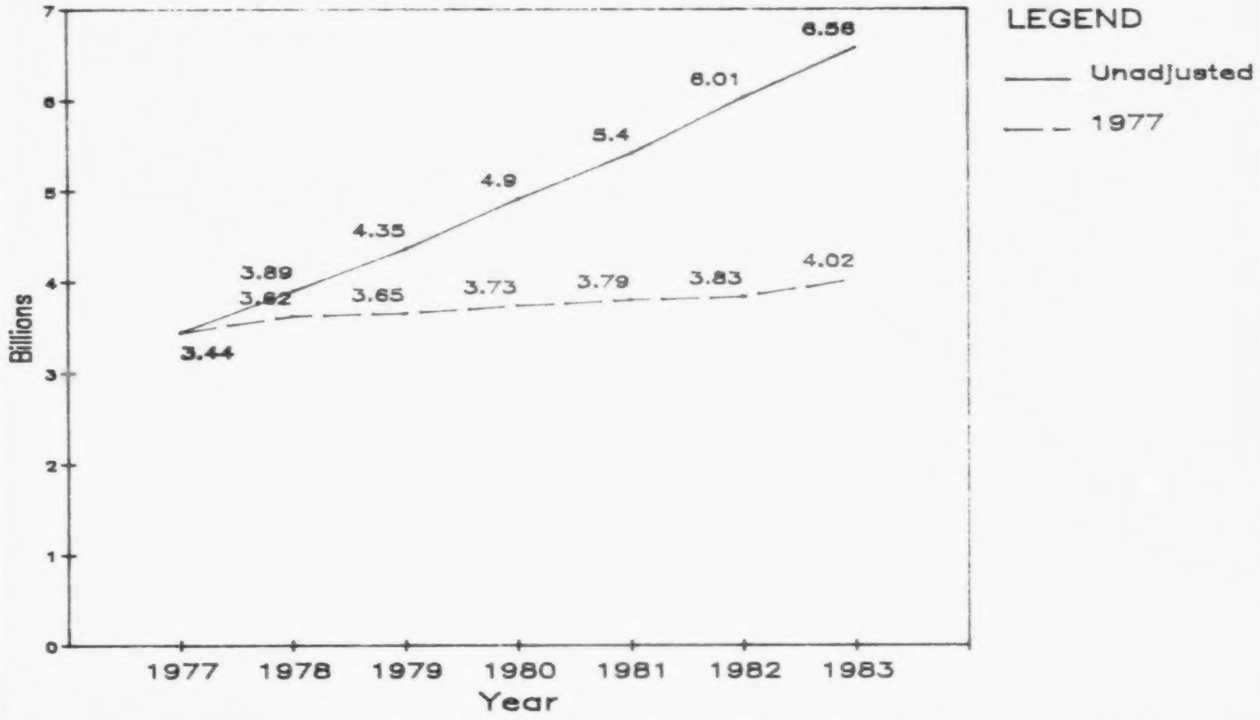
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



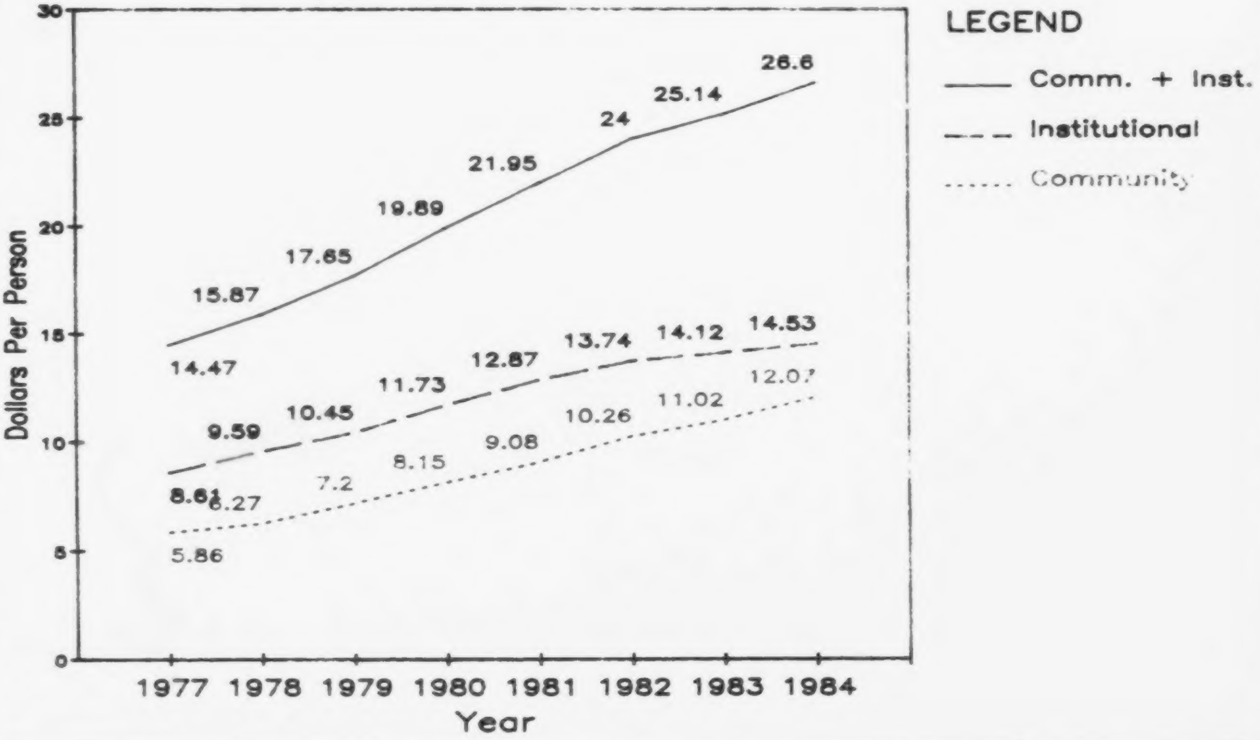
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



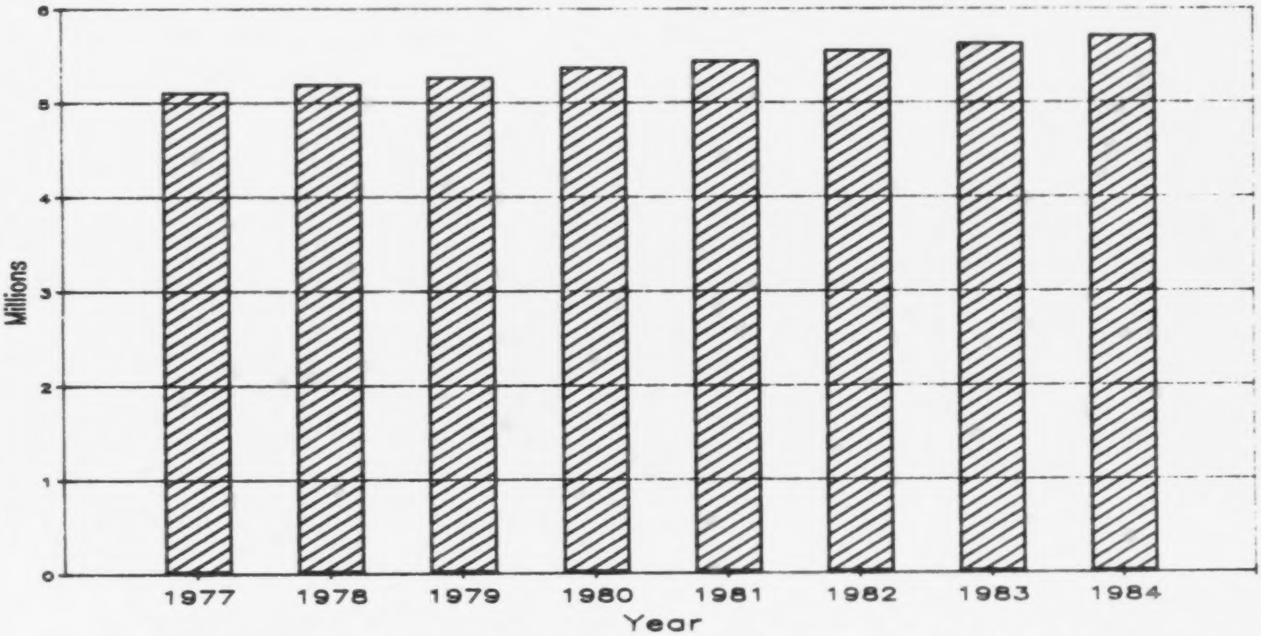
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



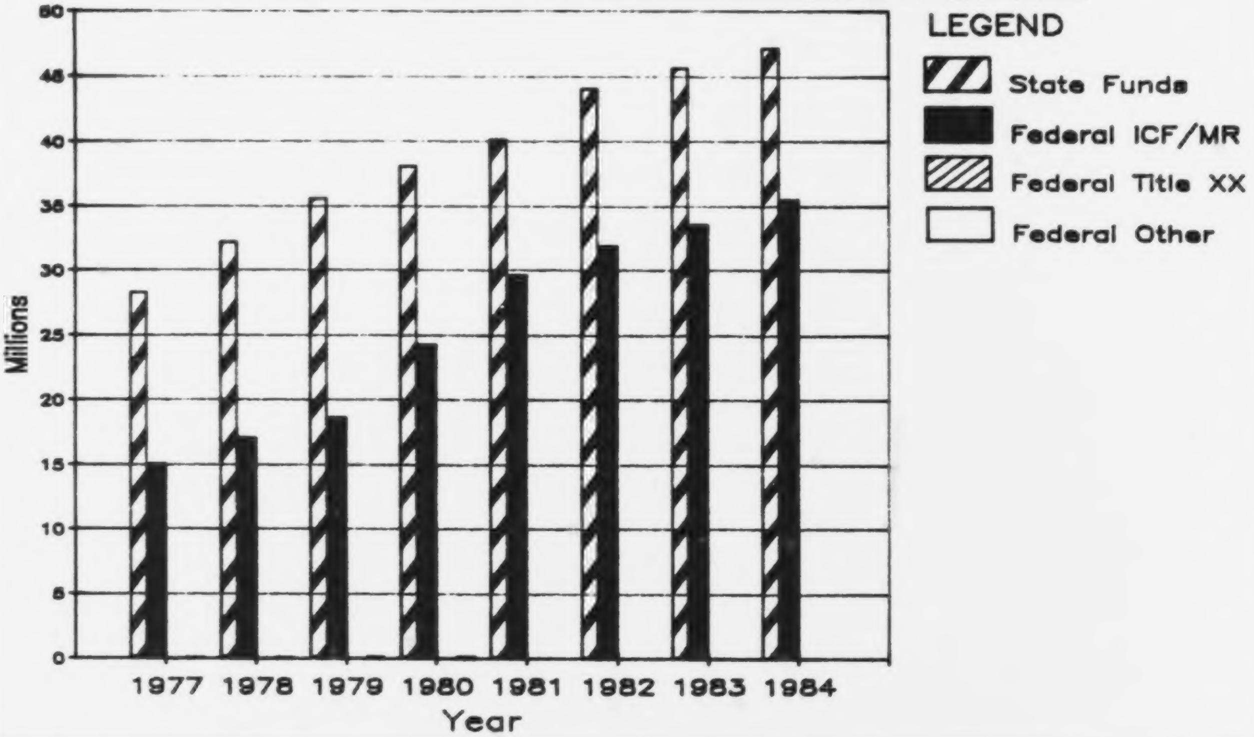
The Total State General Population FY 1977–1984



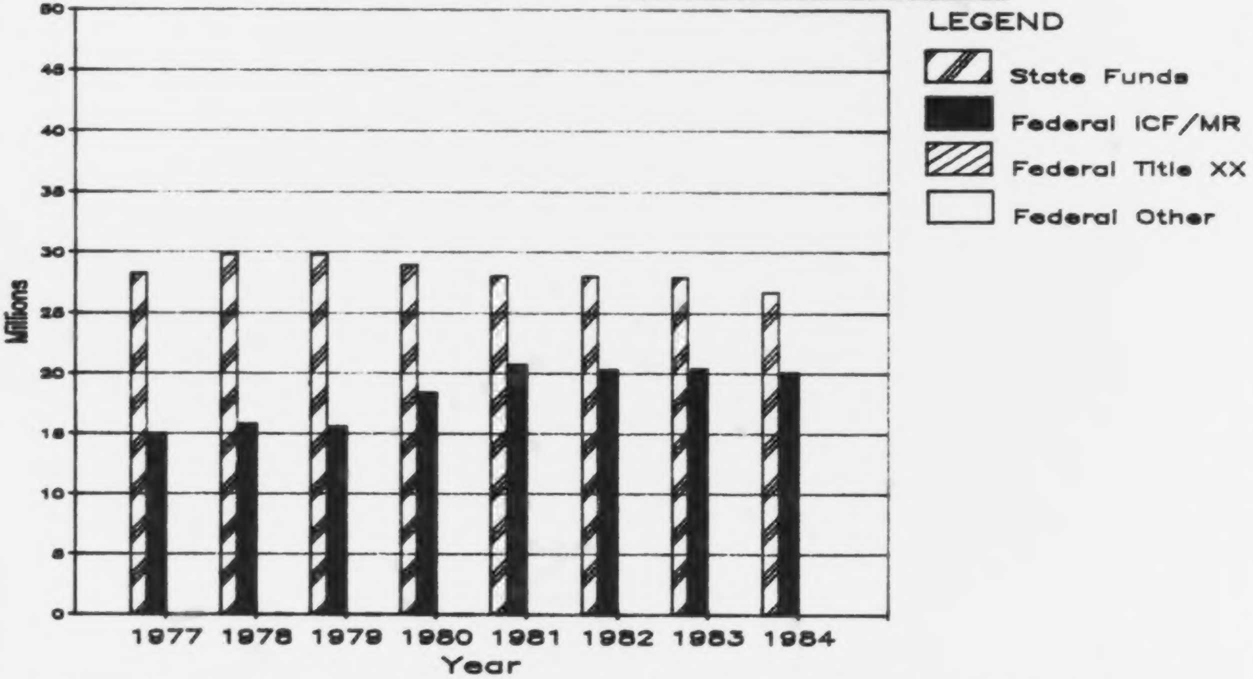
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

GEORGIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



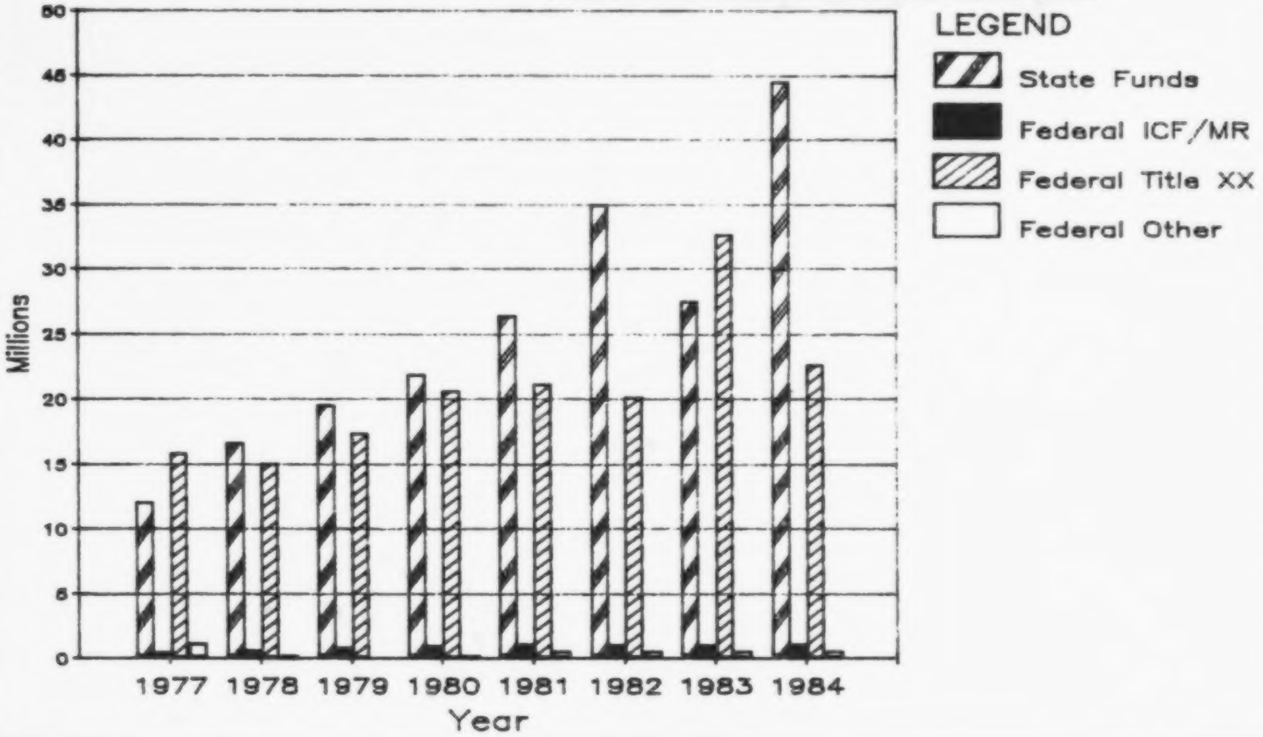
FY 1977–1984, *In 1977 Dollars*



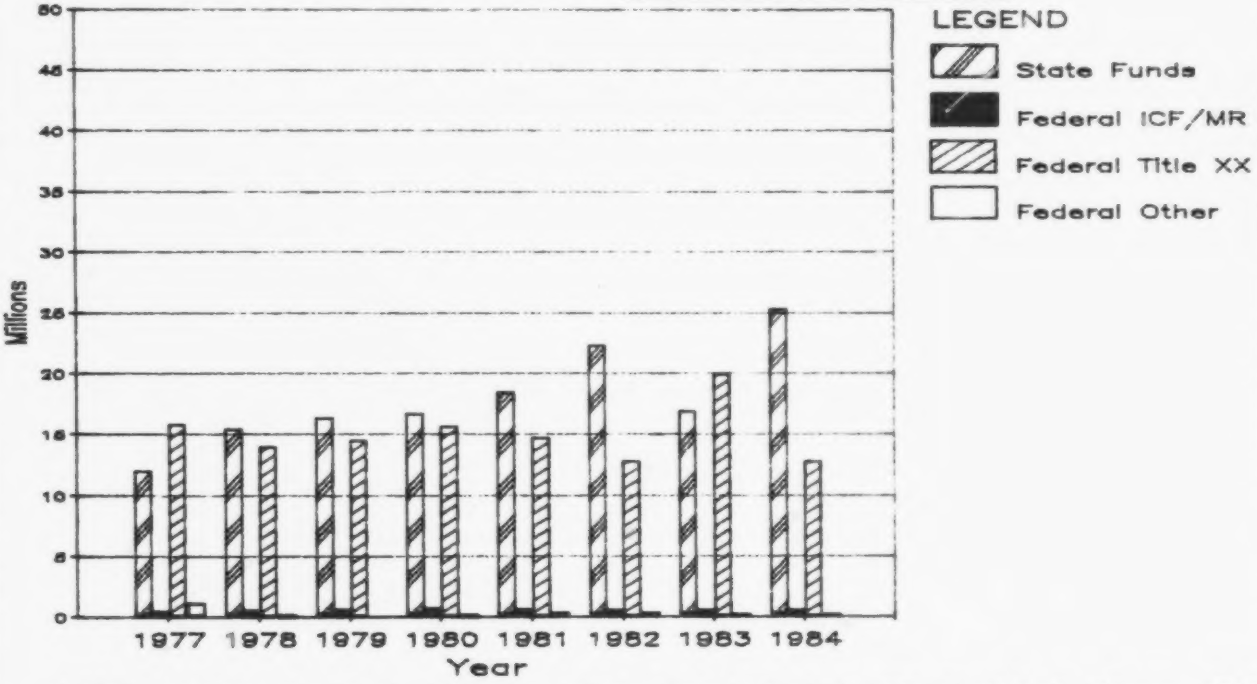
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

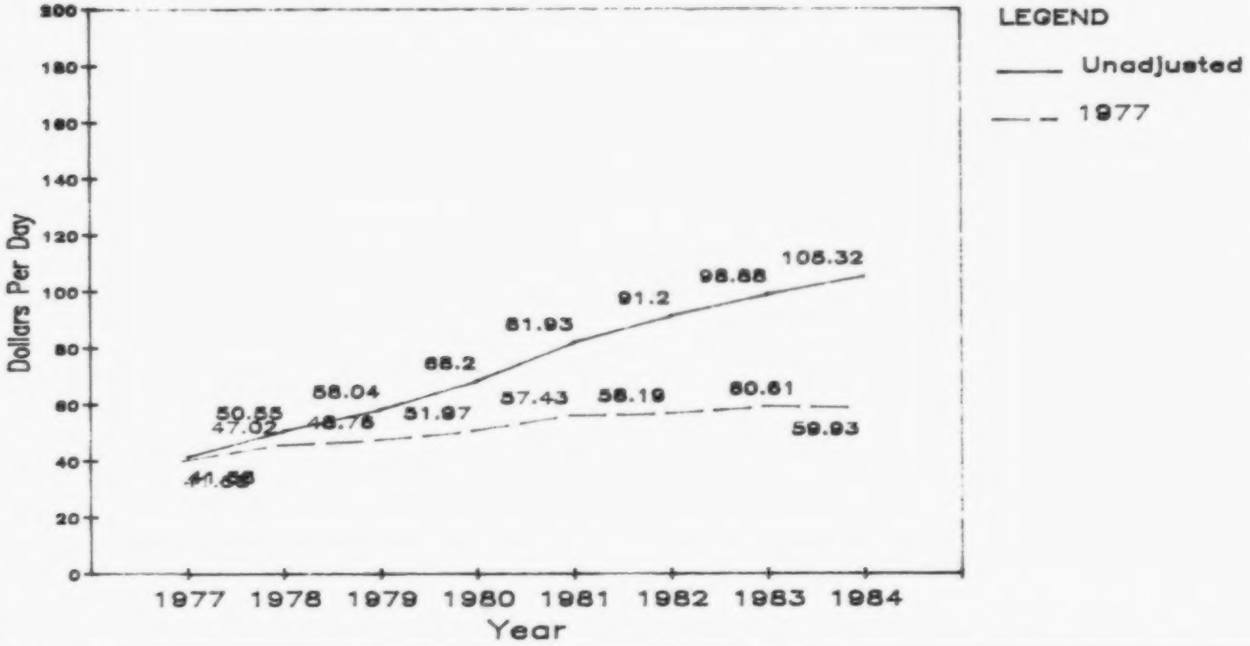


FY 1977–1984, *In 1977 Dollars*

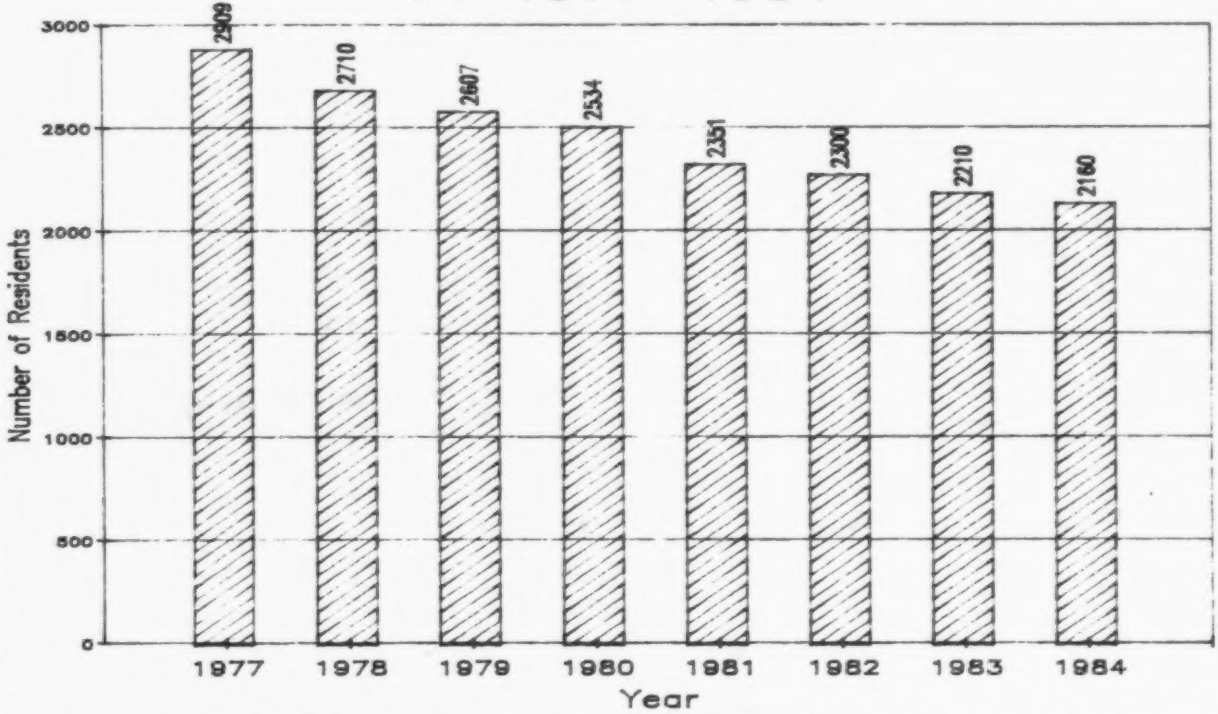


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

GEORGIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Mental Retardation/Developmental Disabilities services in Georgia are managed by the Department of Human Resources, Division of Mental Health/Mental Retardation, Mental Retardation Services Section.

2. Budget Format: The budget format in State of Georgia Budget Reports provided expenditures for two retardation centers (institutions), four hospitals serving multiple populations (MH, Substance Abuse, MR/DD), and "Community MH/MR Services." Prior to FY `83, two additional hospitals served MH/MR populations. The budget documents provided the following fund source breakdown for all Division of MH/MR program elements.

   General Fund
   Federal
   *Indirect DOAS (For Institutions Only)
   Other
   *Note: DOAS - Department of Administrative Services

3. Note on Data Sources: Review of State of Georgia Budget Report documents for FY `79, `82, and `84 provided expenditure figures for the Division which were categorized "actual" for FY `77, `79, `80 and `82; "estimated" for FY `78, `81 and `83; and "recommended" for FY `84. (The latter was subsequently upgraded.)

   Although the review of the state published budget documents provided a good overview of the expenditures of Institutional and Community services managed by the Division, it was not possible to:

   - obtain fund sources for the four multi-population institutions' MR/DD costs
   - clarify the fund sources for MR/DD "community" lines
   - obtain the private ICF/MR, nor the Title XX services expenditure levels

   To obtain this information we contacted Webb Spraetz, Deputy Director, Mental Retardation Services, Division of Mental Health/Mental Retardation, Department of Human Resources. He indicated that MR/DD Institutional Services are supported (FY `84) by approximately 40% Federal sources, and that the three main services areas for the MR Section are: the hospital program, day activity/community residential, and case management services. There are 34 catchment areas, each with a Mental Health program leader.

   We were referred to Ms. Harriet Van Norte, Director, Community Residential Services Unit, Mental Retardation Services Section, and in 12/27/83 correspondence she provided Community/Institutional expenditure figures, including those for the private ICF/MR program. The figures in the correspondence were categorized as "actual" for FY `77-`83, and "initial appropriation" for FY `84.

   Extrapolation was used to arrive at MR/DD costs for the multiple-population institutions (budget documents provided average MR/DD client load and MR/DD per diem cost). For "Community MH/MR Services," only the identifiable MR/DD line items were considered. Community and Institutional expenditures for the Georgia Division of MH/MR as presented in the budget documents were rearranged for the analysis in the following format:

Division of MH/MR Budget Format
As Organized for Expenditure Analysis

Institutions	Notes
Georgia Regional Hospital-Atlanta Northwest Georgia Regional Hosp.-Rome Southwest State Hospital Central State Hospital	These four facilities serve multiple populations and budget document data on MR/DD client "load" and MR/DD per diem costs are utilized to determine MR/DD expenditures
Gracewood State School and Hospital Georgia Retardation Center	Total expenditures for these two MR/DD facilities are utilized.

Community Services	Notes
MR Budget Lines (DD Service Chiefs, MR Day Care Vehicle purchases; Group Homes for Autistic Children; and Dekalb and Chatham MR Projects).	Prior to FY `82, the Dekalb and Chatham MR projects were budgeted as Physical Health/Local Health Services Division--This analysis has included these expenditures in Community Services
Group Homes for MR Supportive Living Benefits Supportive Living Staff Community MR Residential Services Community MR Staff Day Care - MR	

II. INSTITUTIONAL SERVICES

4. Institutional Services consist of the expenditures for the two retardation institutions, and the four multi-population hospitals and regional centers' MR/DD share -see Note 3 above. (Total expenditures for Institutions has been estimated for FY `77, based on the rate of growth FY `78 -`79).

   In a subsequent telephone follow-up (1/19/83, Van Youngiren, MR Services Section), we were provided the administrative and support costs for the four multi-population facilities (estimated by the state at 8% of the facilities' budgets--which results in a higher percentage for MR share). In addition, we were provided, for FY `78 and `79, the MR/DD Unit costs at Savannah Regional Hospital and West Central Georgia Regional Hospital. We therefore included these additional expenditures with the Institutional Services figures previously provided, adding the additional cost to State General Funds.

III. COMMUNITY SERVICES

5. Community Services consist of the expenditure figures from the 12/27/83 correspondence. Comparison with the budget book format (Note 3 above) and figures for the MR Community elements indicated that the correspondence expenditure levels were consistent with the budget book totals for Community Services.

6. Other State Funds. A footnote in the 12/27/83 correspondence had indicated that the figures for FY `81, `82 and `83 included SSI funds. In a subsequent phone interview (1/19/84, Youngiren), we were provided these SSI fund amounts, which were subtracted from Other State Funds for each of the three years, and therefore are not in the analysis at this time:

Clients' SSI Funds, Subtracted from Analysis Figures
(dollars in thousands)

FY `81	FY `82	FY `83
$1,203.0	$1,880.0	$2,831.0

7. Title XIX. Georgia officials anticipated approval in Spring, 1984, for Federal reimbursement under provisions of the Title XIX Community Care Waiver (Section 2176) (Van Norte, 12/5/83 phone interview). Implementation is planned for Fall, 1984.

8. Title XX. Expenditure figures are those reported by the agency in 12/27/83 correspondence.

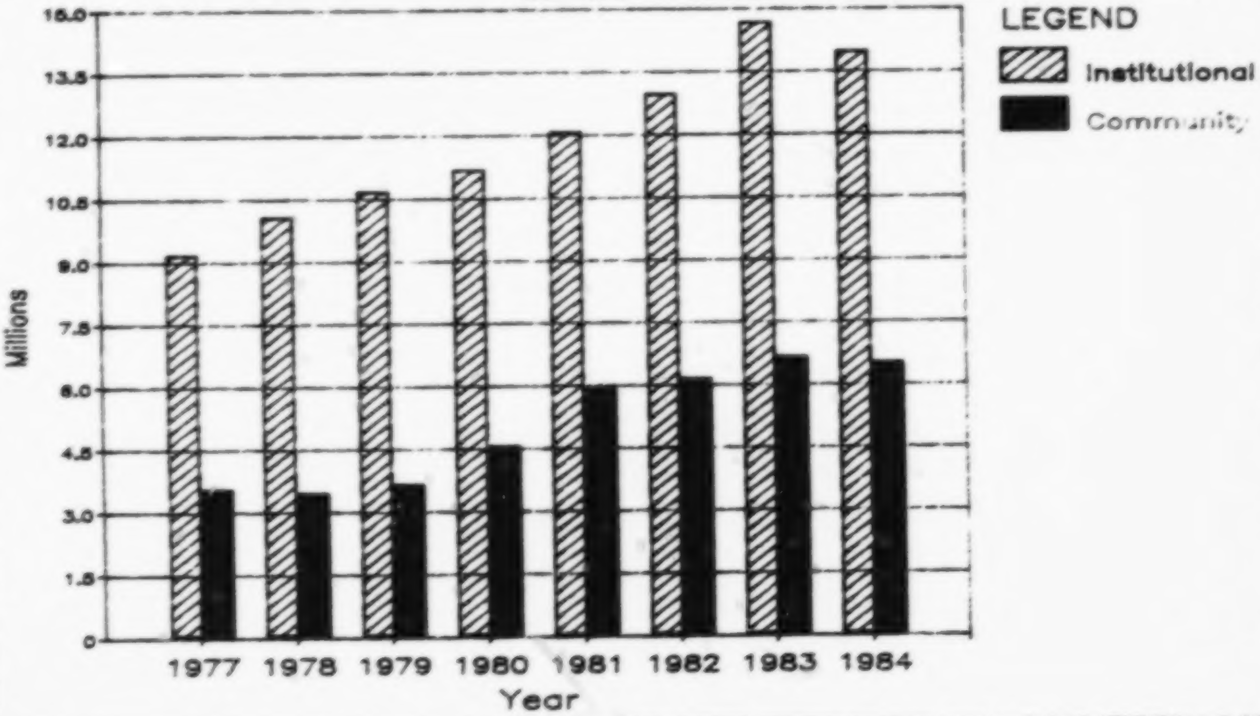
9. Other Federal Funds consist primarily of DD Act and School Lunch Program funds.

10. Private ICF/MR consists of expenditures for the Parkwood Center, a 100-bed facility. The funding for this program is managed by the Department of Medical Assistance (DMA).We were provided figures for FY `79-FY `83. The FY `84 total was extrapolated based on the rate of growth FY `82-`83; then the HCFA Federal Share Ratio (.6743) was applied. For FY `77 and FY `78, the same method was utilized--the HCFA Federal Share percentages are .6610 and .6582 in `77 and `78 respectively.

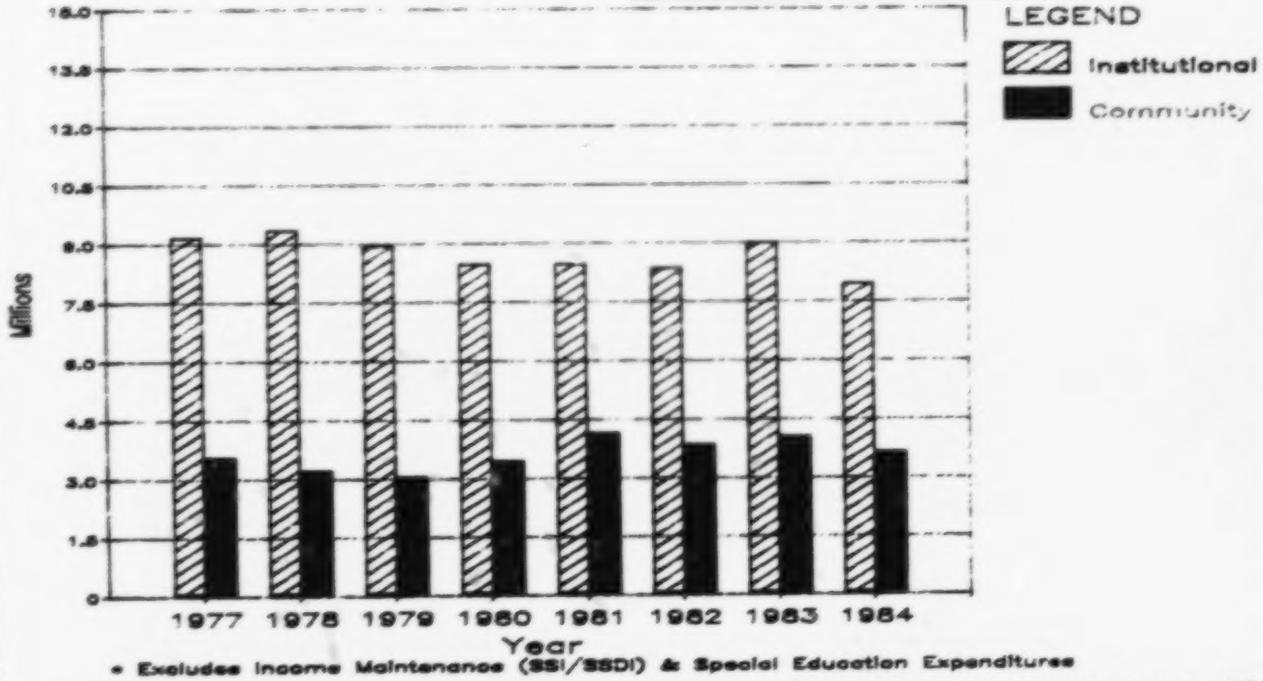
HAWAII

STATE PROFILE

HAWAII
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

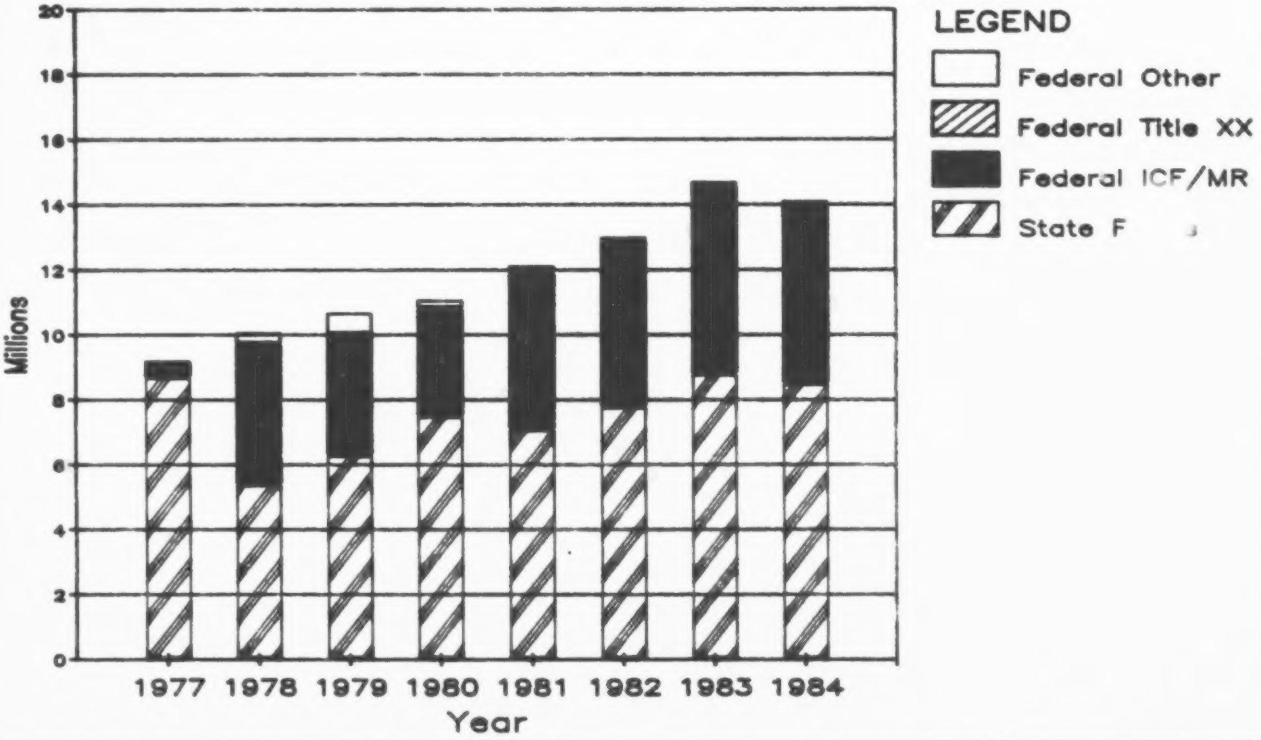


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

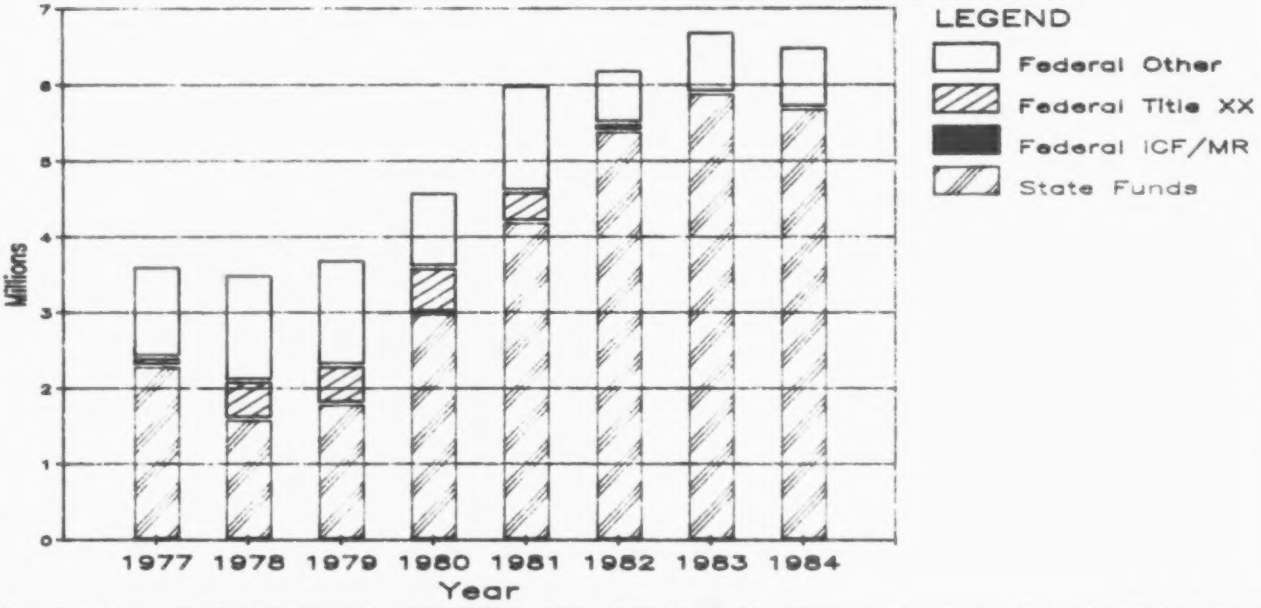
HAWAII

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

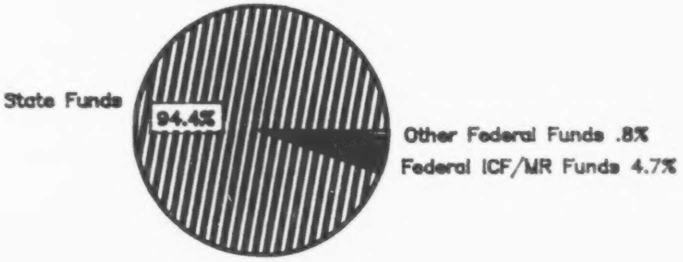


HAWAII

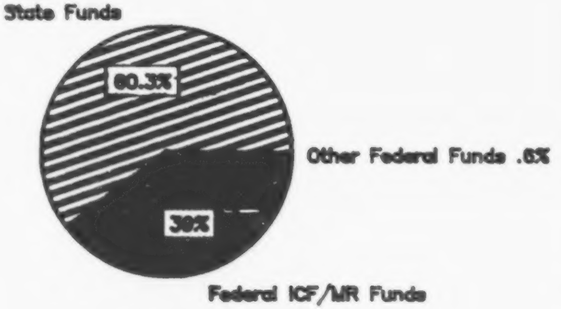
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



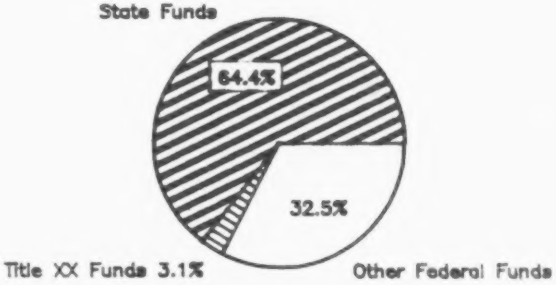
HAWAII
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



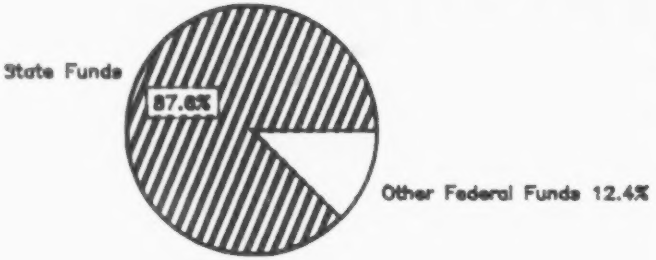
Institutional 1977: $9.2 Million



Institutional 1984: $14 Million



Community 1977: $3.6 Million

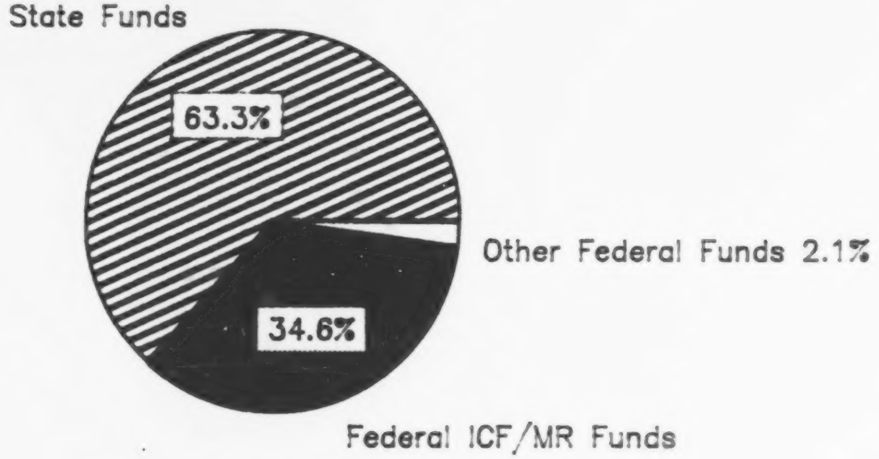


Community 1984: $6.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

HAWAII
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

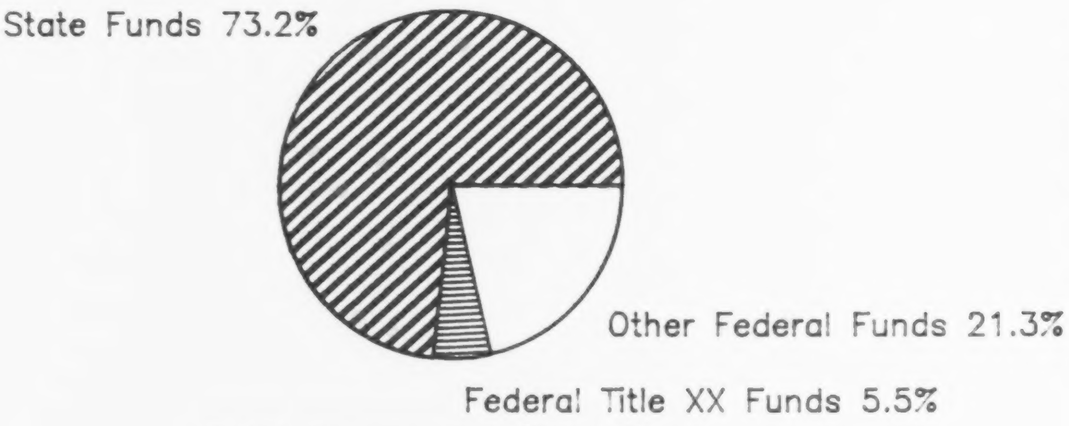
Institutional Services Funds



Total Institutional: $95 Million

Community Services Funds

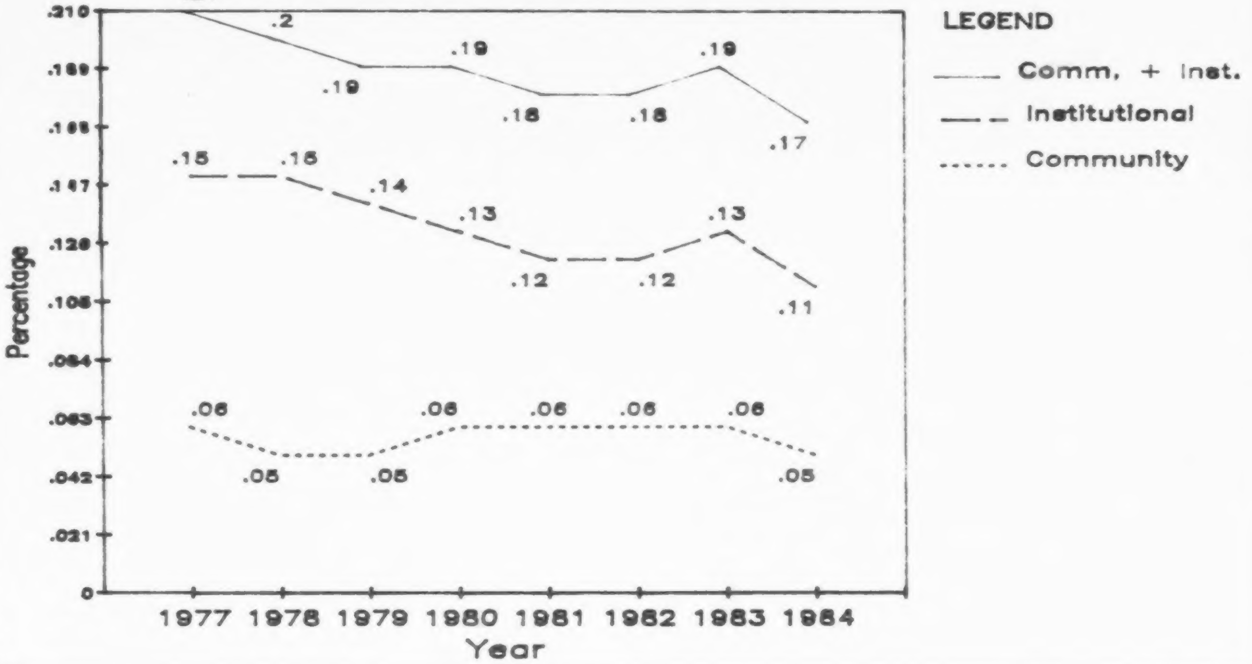
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



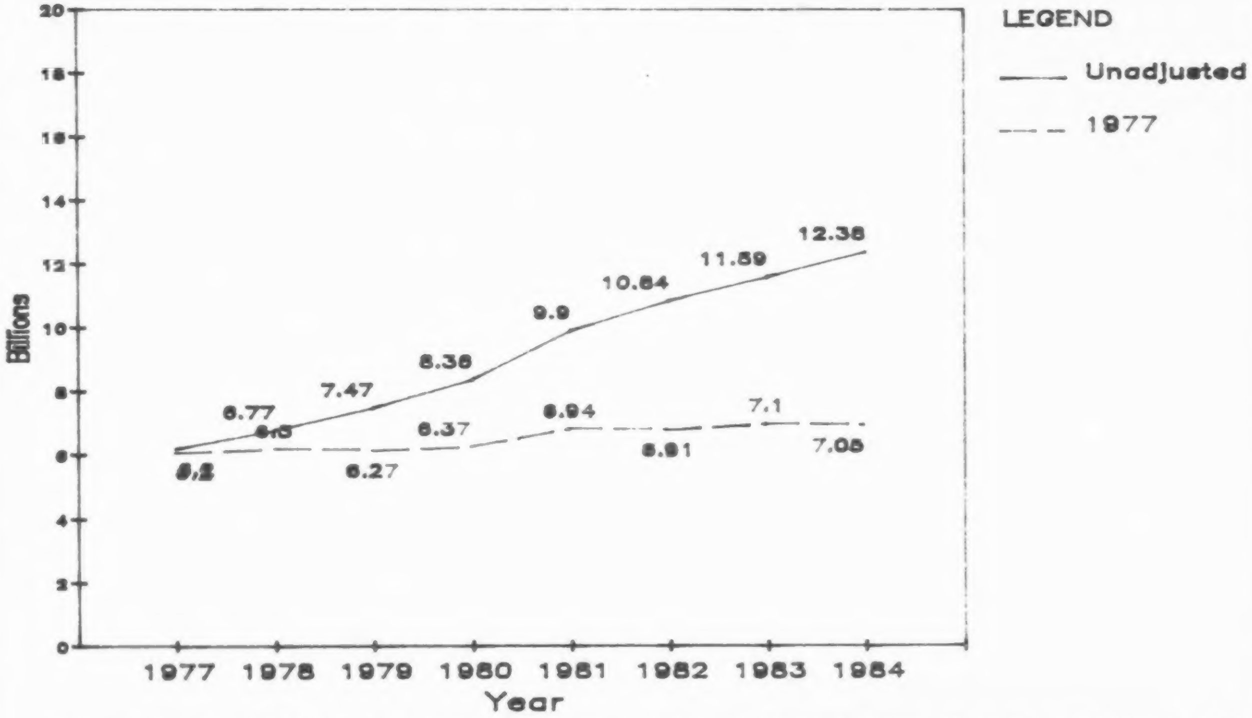
Total Community: $41 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

HAWAII
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



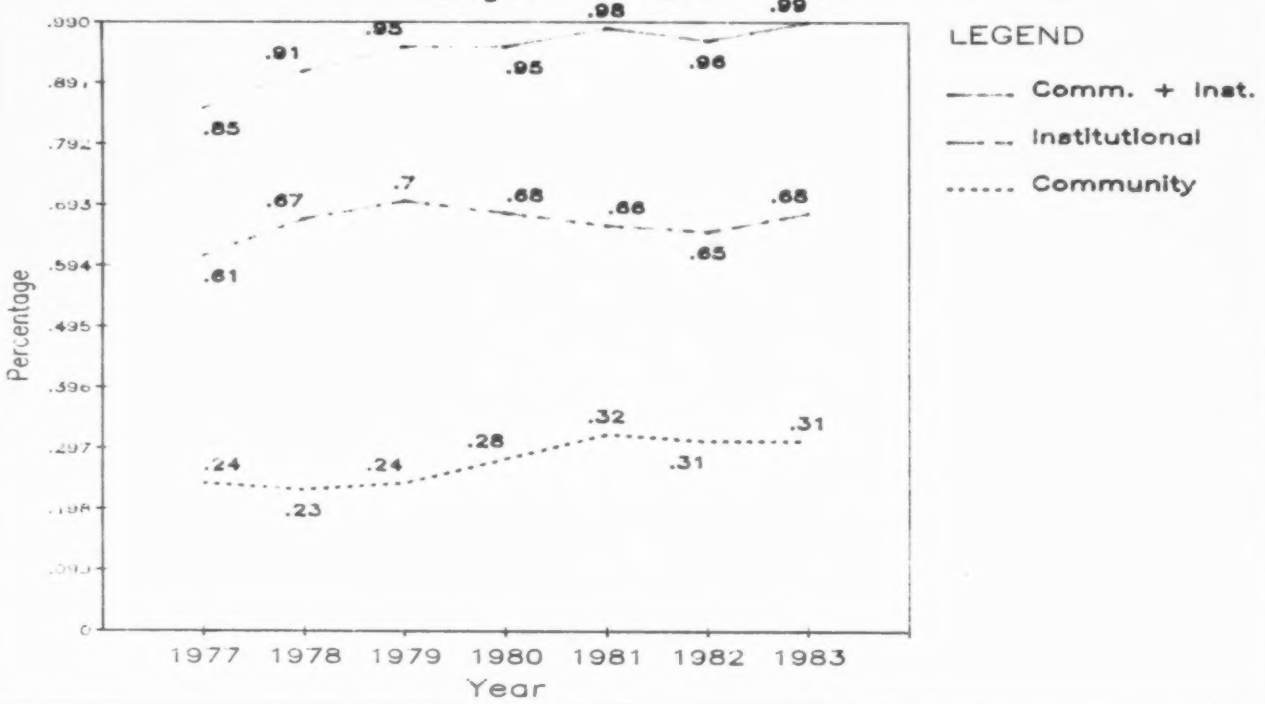
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



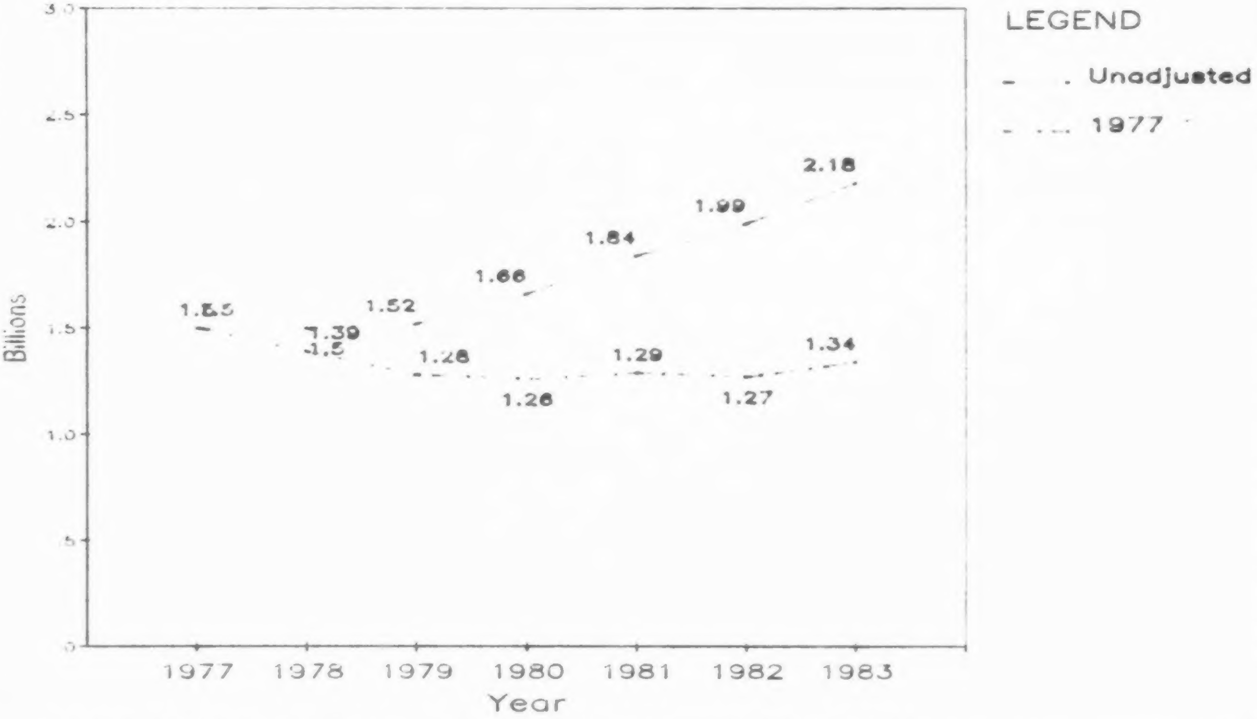
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

HAWAII

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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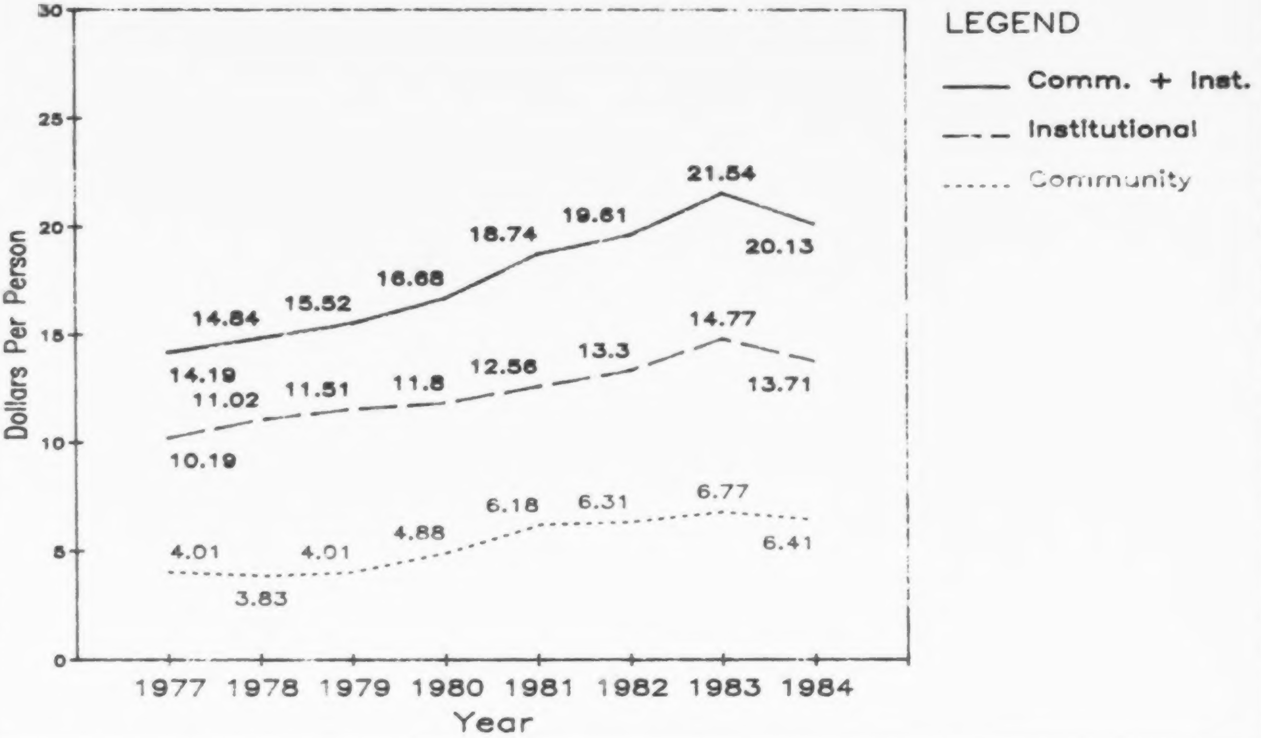
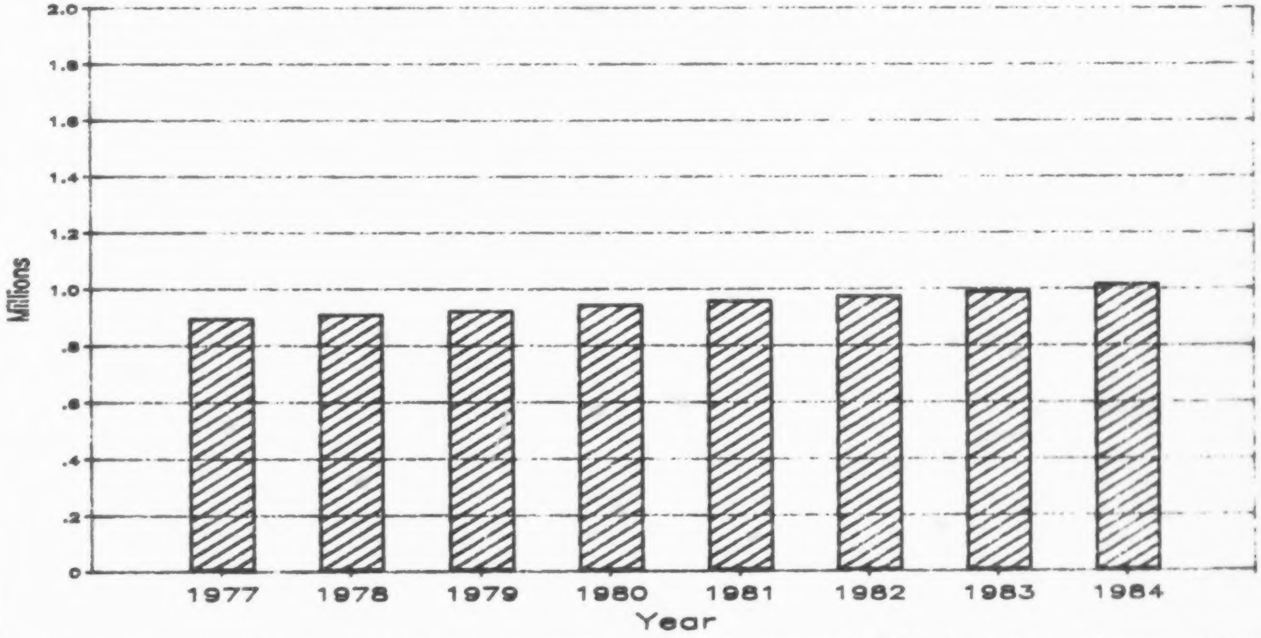
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



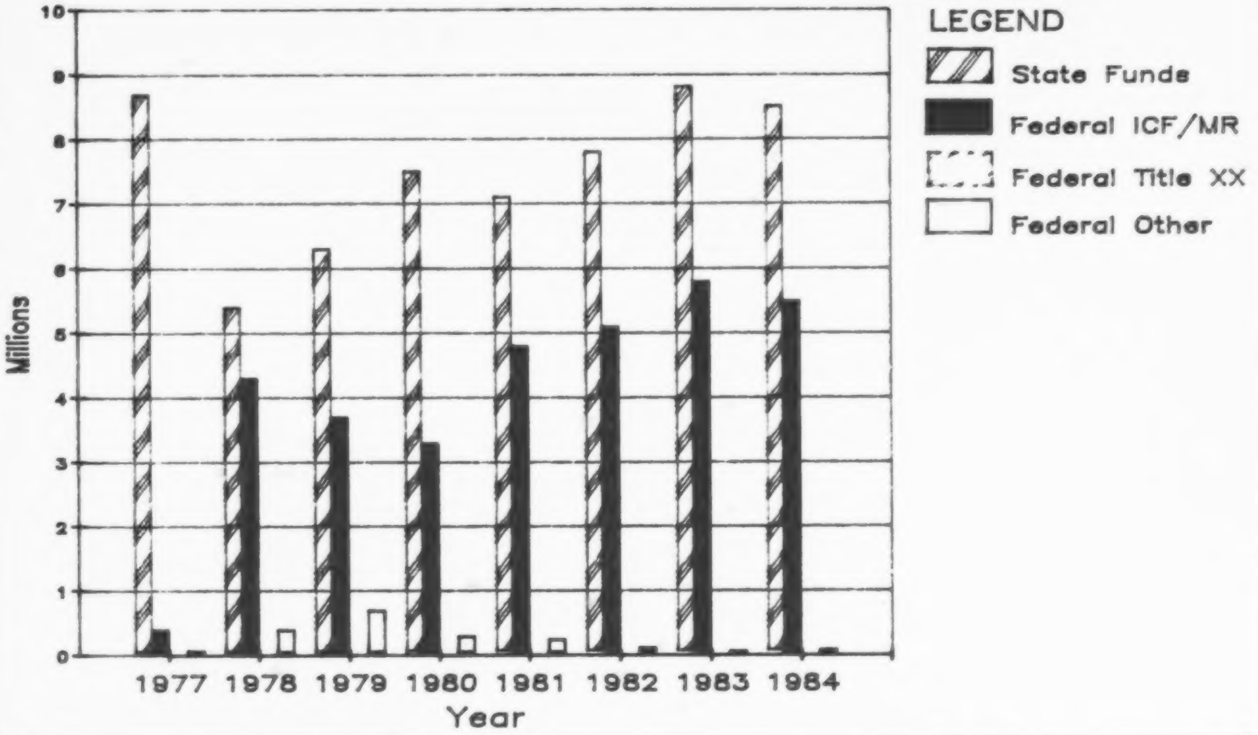
The Total State General Population FY 1977–1984



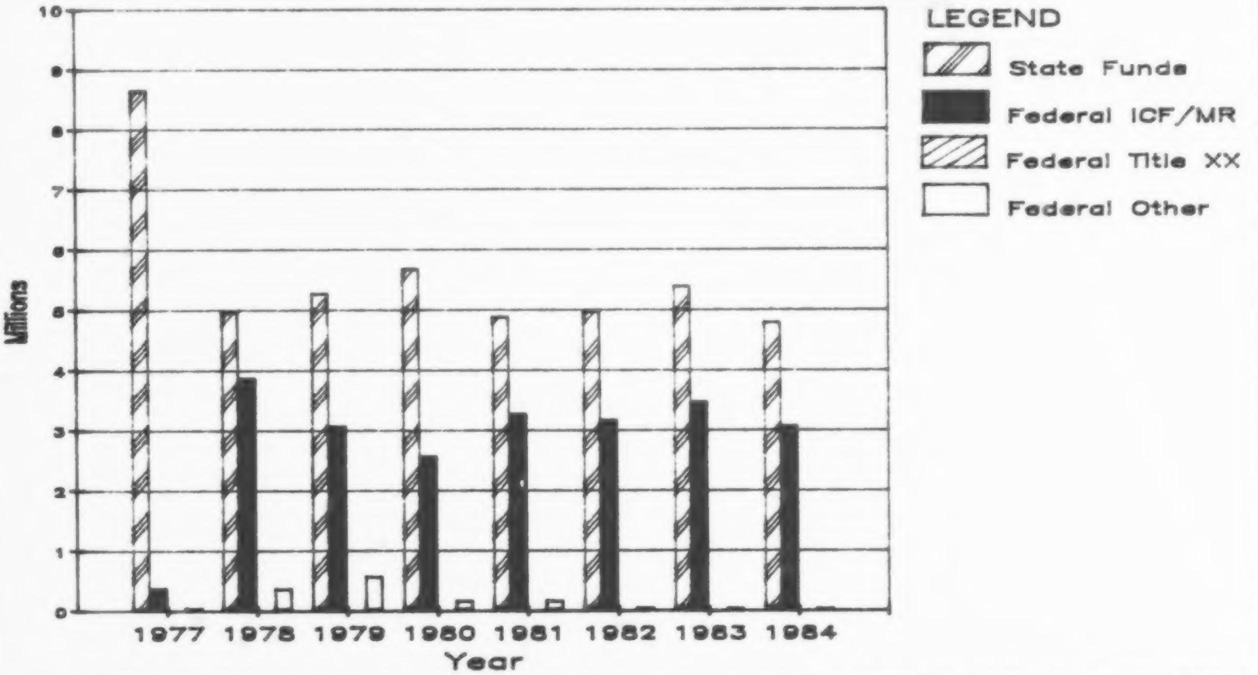
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

HAWAII

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

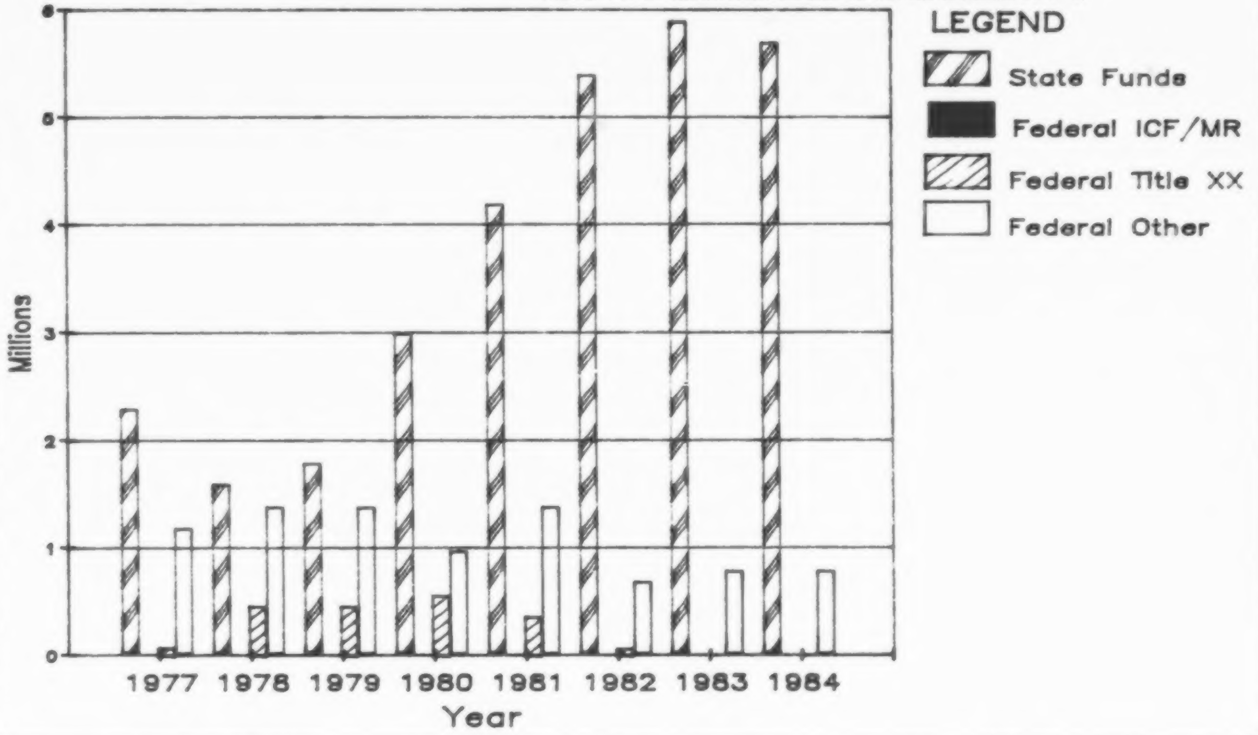


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

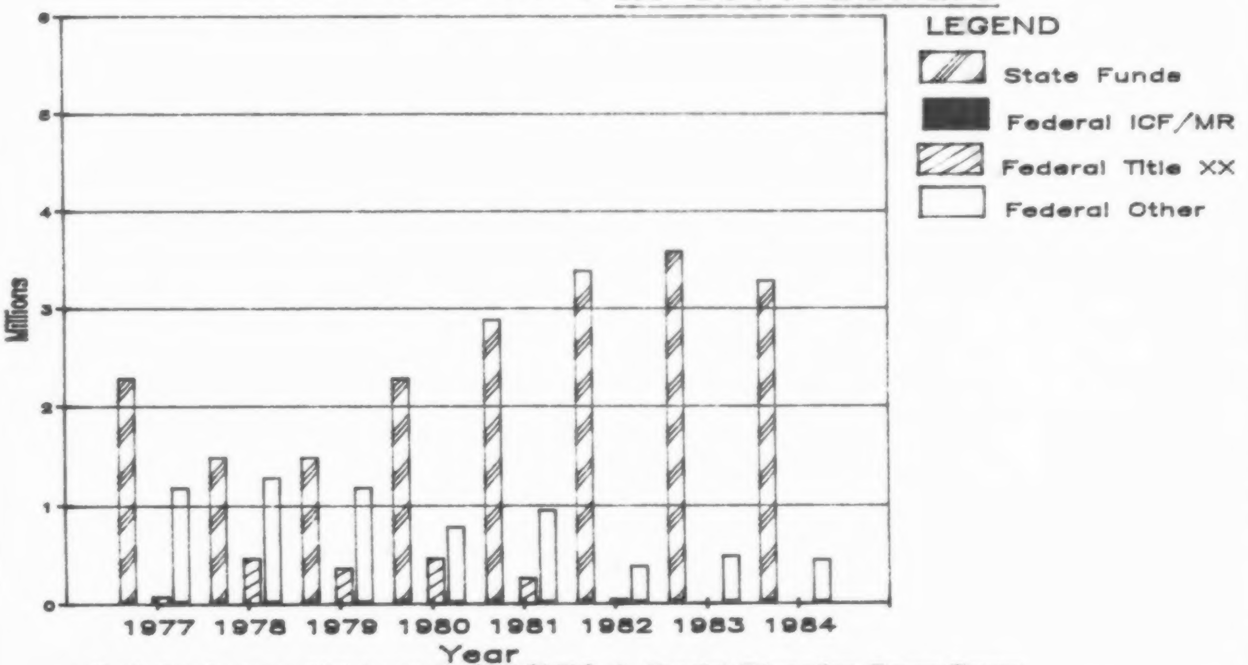
HAWAII

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



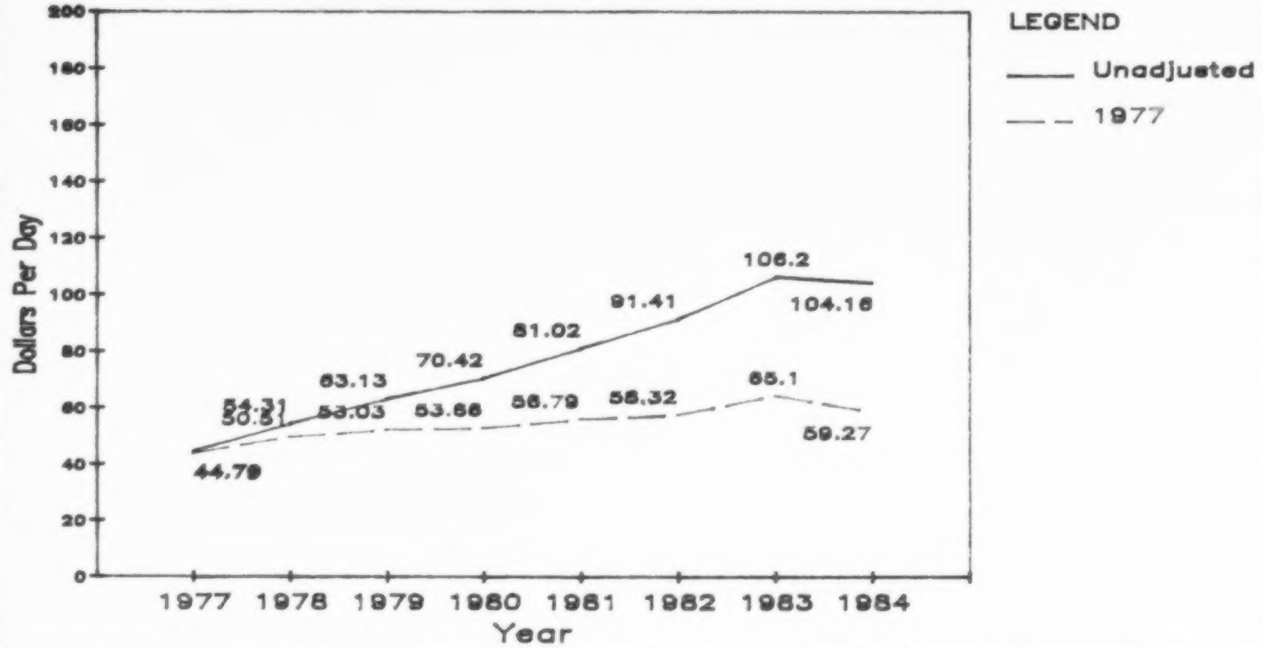
*** Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures**

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

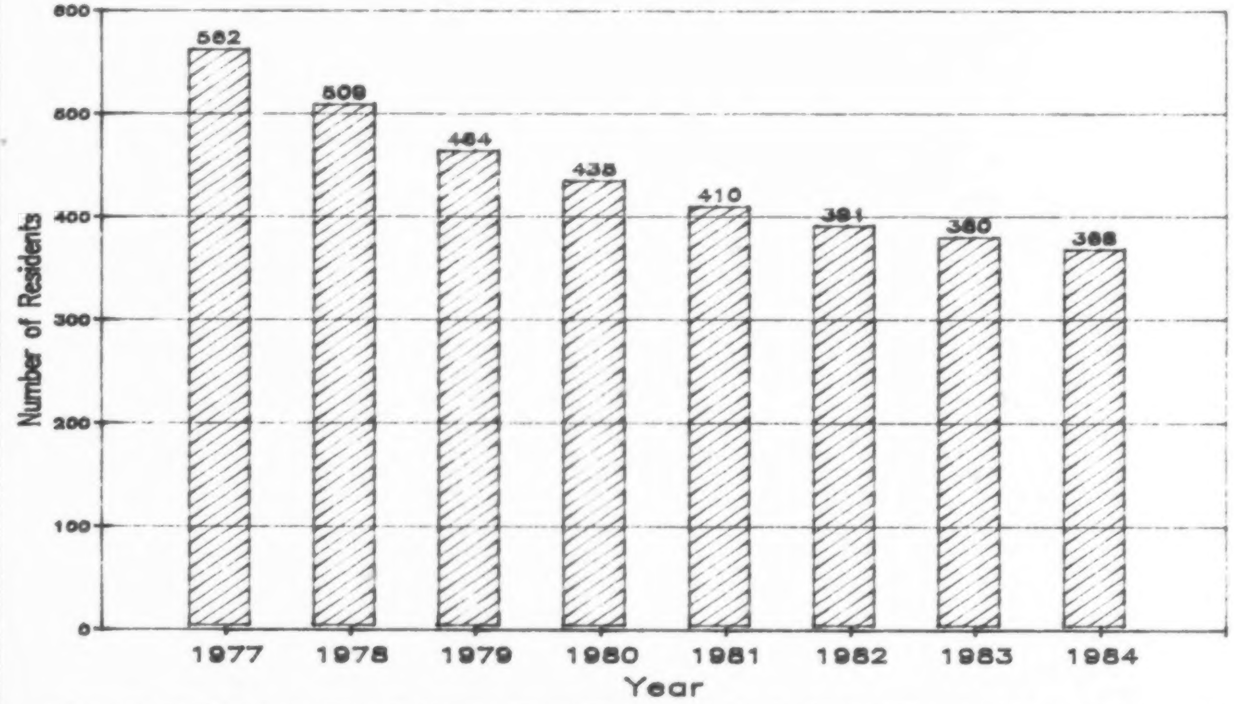
HAWAII

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

HAWAII

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Mental retardation programs in Hawaii are located in the Department of Health. Since FY 1978, funds supporting the Waimano State School and the Community Services Branch have been in separate Health Department administrative divisions. Before that date, Community Services activities were carried out under Waimano's auspices.

2. Budget Format: The Hawaii State Health Department contains three budget categories through which mental retardation programs are funded. These are: "Identification, Evaluation, and Treatment of the Mentally Retarded (HTH-500)," "Community Services for the Mentally Retarded (HTH-501)," and the "Waimano Training School (HTH-511)." Source: letter from Mr. Calvin Masaki, Chief, Administrative Services Office, Hawaii Department of Health, 9/16/83. Mr. Masaki's letter also provided HTH-500 and 501 research expenditure levels for FY 1984.

   The Budget sections pertaining to MR have the following funding source categories:

   General Fund
   Special Fund
   Other Federal Funds (specific sources are listed, i.e.,
   Title XIX, XX, CHAMPUS, etc.)
   Revenue Sharing Trust Contribution.

II. INSTITUTIONAL SERVICES

3. Institutional Services. The population at Waimano Training School has been:

   1977 - 562
   1978 - 509
   1979 - 464
   1980 - 435
   1981 - 410
   1982 - 391
   1983 - 380
   1984 - 368

   This is the average of the population at the beginning and end of each fiscal year. Figures were provided by Melvin Asano, Department of Health, telephone interview, 6/19/84 and letter, 6/25/84.

4. Title XIX reimbursement levels supporting the Waimano Training School derive from two sources. Data from FY 1977 to FY 1981 were obtained from HCFA/DHHS; estimated data for FY 1982 were obtained through personal communication with the Health Department's Administrative Services Offices (Mr. Melvin Asano, telephone interview 9/9/83).

III. COMMUNITY SERVICES

5. Community Services consists of the budget categories HTH-500 and HTH-501 referred to in Note 2.

6. Title XIX. Hawaii's Home and Community Based Care Waiver program has been approved and is being initiated in FY 1984. Plans call for 28 residents of Waimano to be relocated to adult foster homes. Day treatment services amounting to about $450/month per client are being reimbursed under the Title XIX Waiver Program. The residential component is covered under the client's SSI. This initiative is administered through the budget of the Waimano Training School. FY 1984 expenditures for day treatment services were estimated to be approximately $37,800 depending on the number of clients actually placed this FY. (Telephone interview, Stanley Yee, Acting Program Administrator for MR, Hawaii Department of Health, DD Community Services Branch, 9/83).

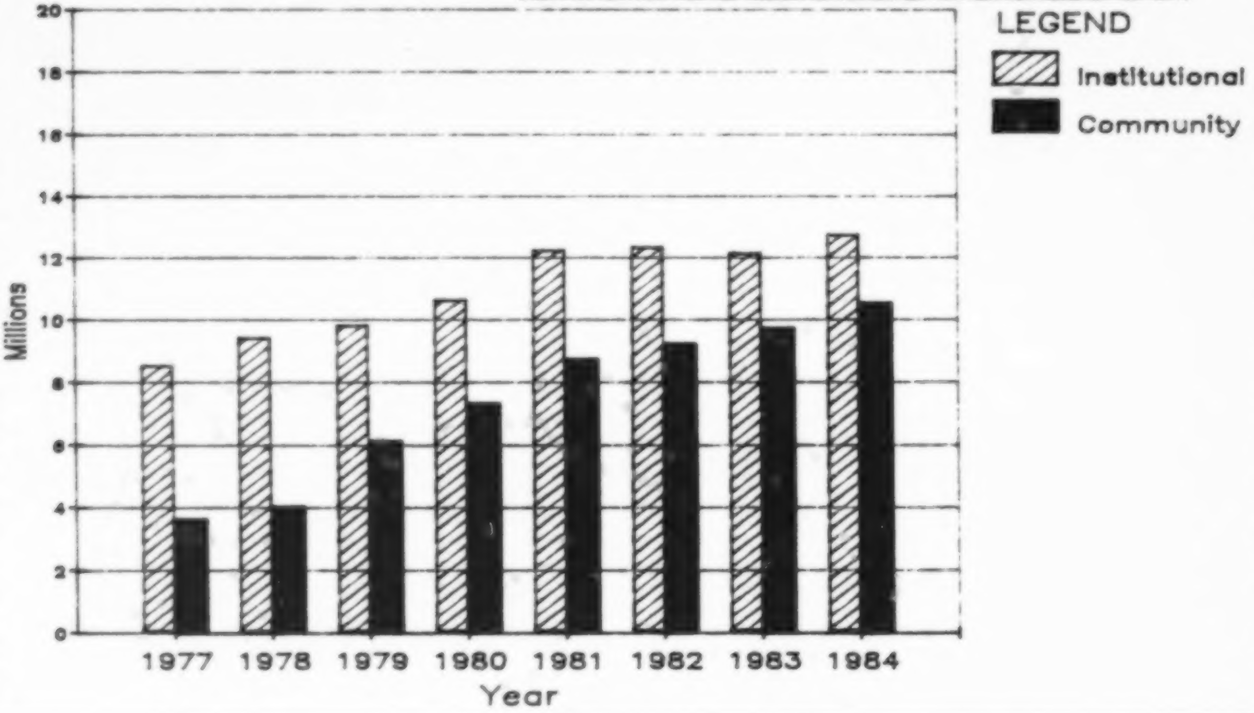
7. Title XX. All Title XX MR expenditures, except for FY 1977 estimates, are actual data obtained from inspection of financial records in the Hawaii Department of Health, DD Branch. The 1977 data is an estimate of "start-up monies" for the Hawaii HTH-500 and HTH-501 budget lines. HTH-500 began as a special project in the Health Department's Family Health Services Division; and HTH-501 began as a special project component within the budget of the Waimano Training School. At the end of the first quarter of FY 1982, the use of Title XX for supporting HTH-500 and HTH-501 community services was terminated. Many of the projects were, however, converted to state funding.

8. Private ICF/MR. According to Mr. Yamaguchi, the Executive Assistant to the Hawaii Medicaid Administrator, all Hawaii ICF/MR funds pertain to the Waimano Training School reimbursements. No Title XIX funds are presently claimed for MR community residential services under private auspices.

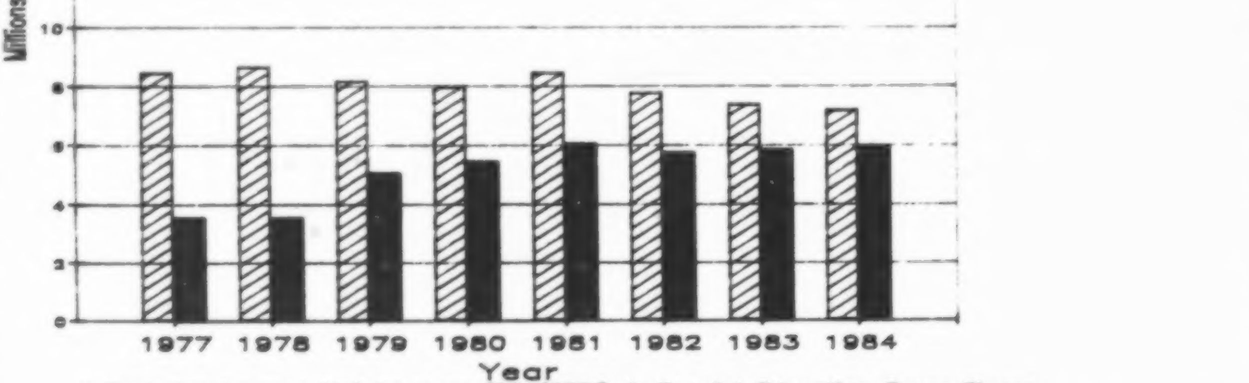
IDAHO

STATE PROFILE

IDAHO
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

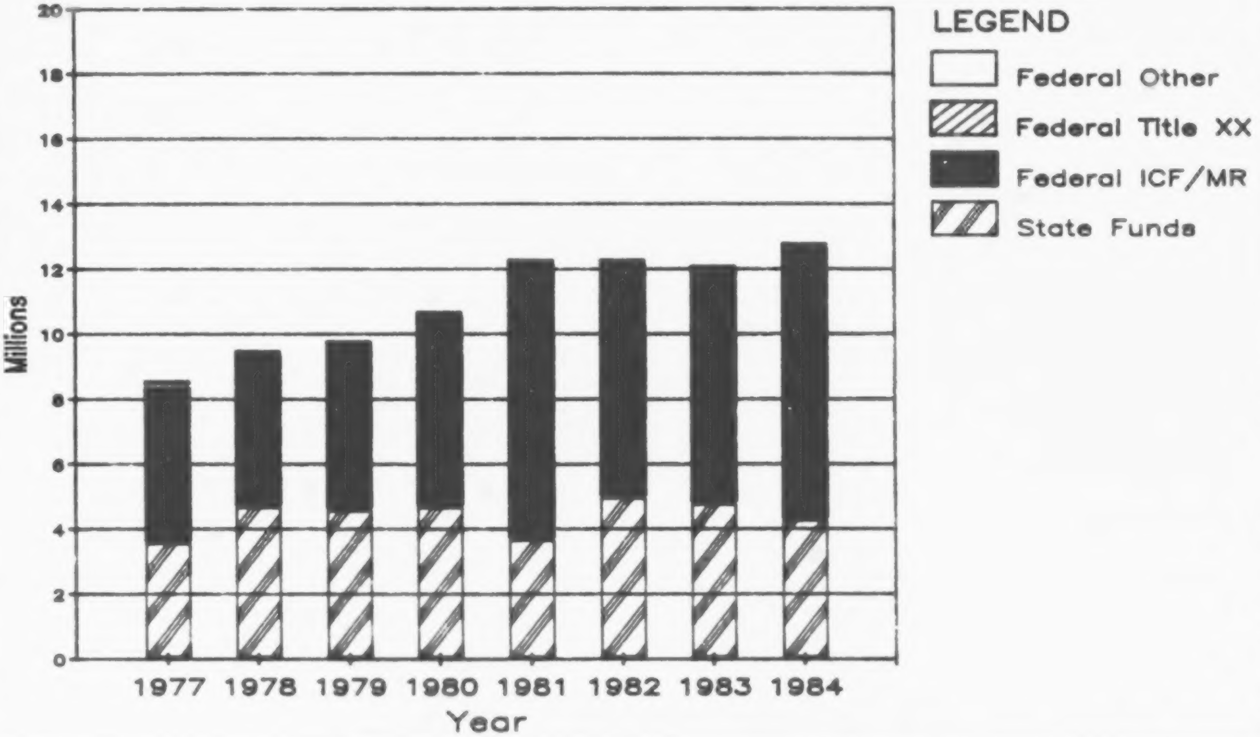


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

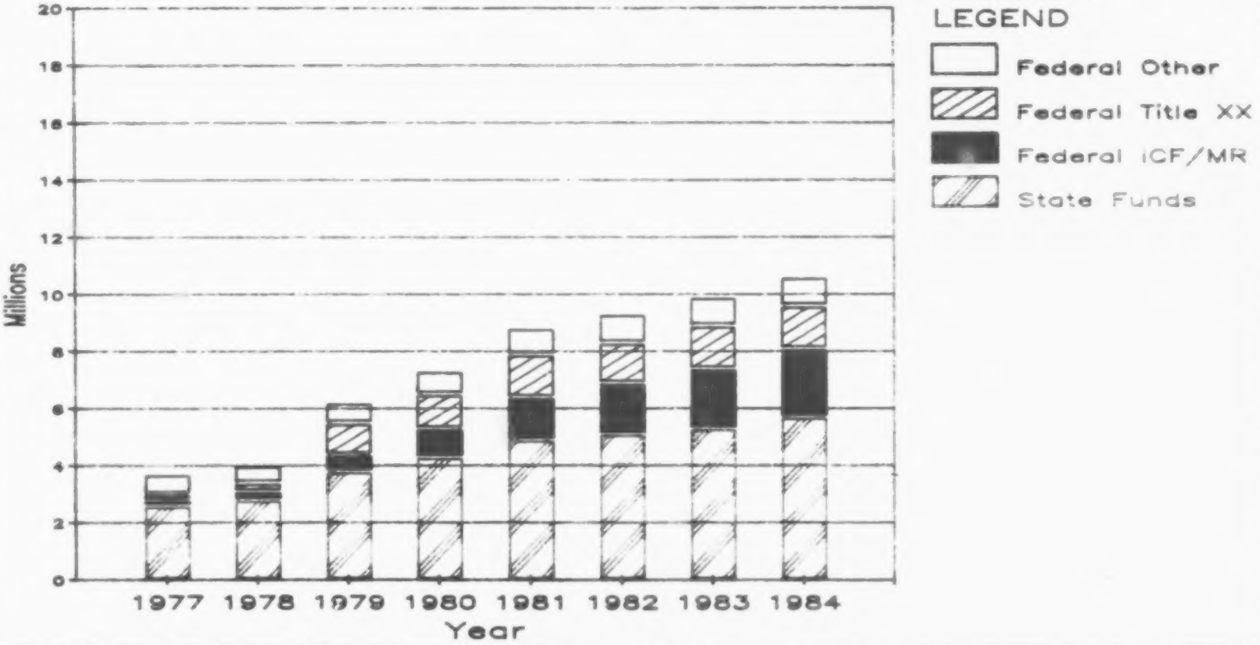
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



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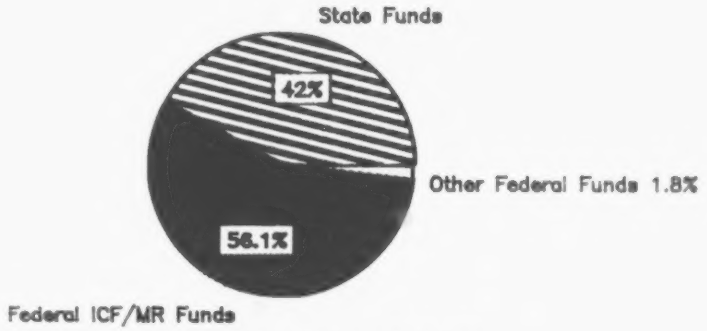
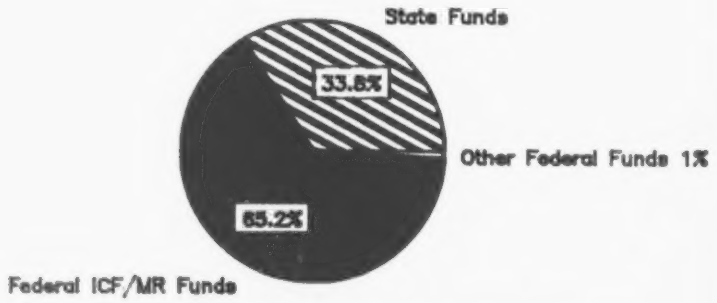
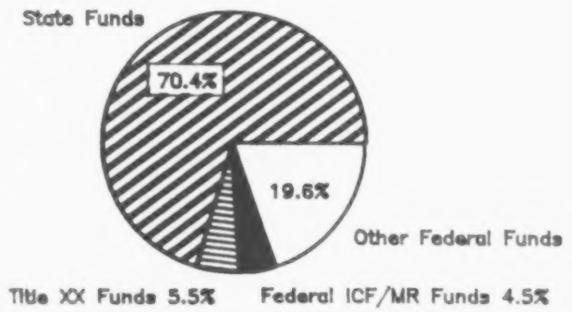
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



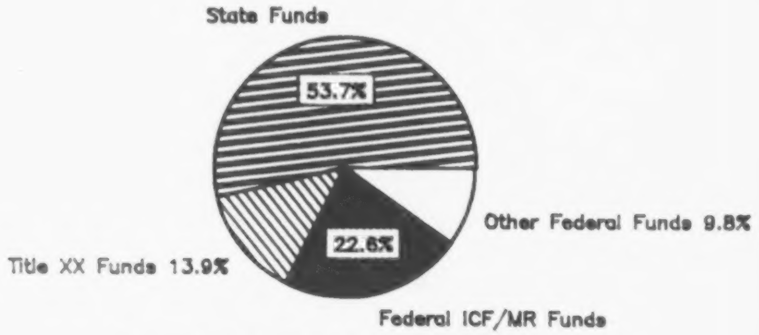
Institutional: 1977 Total Funds—$8.6 Million



Institutional: 1984 Total Funds—$12.8 Million



Community: 1977 Total Funds—$3.7 Million

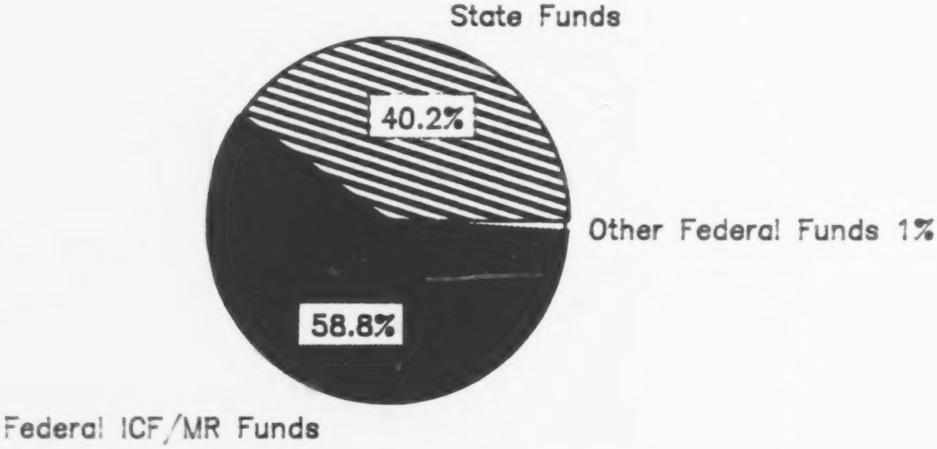


Community: 1984 Total Funds—$10.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

IDAHO
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

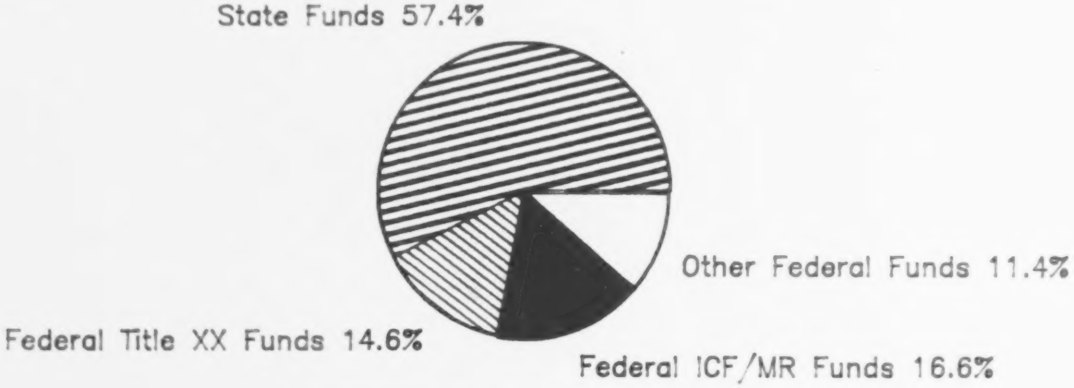
Institutional Services Funds



Total Community Dollars: $88.3 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

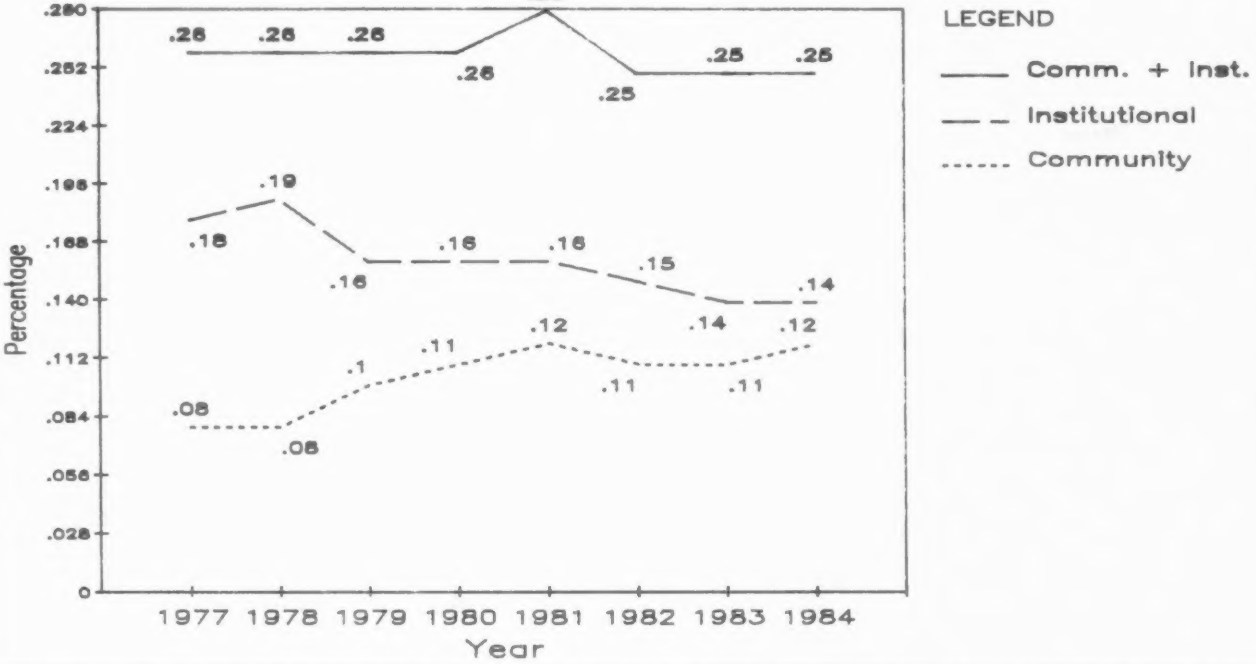


Total Community Dollars: $59.9 Million

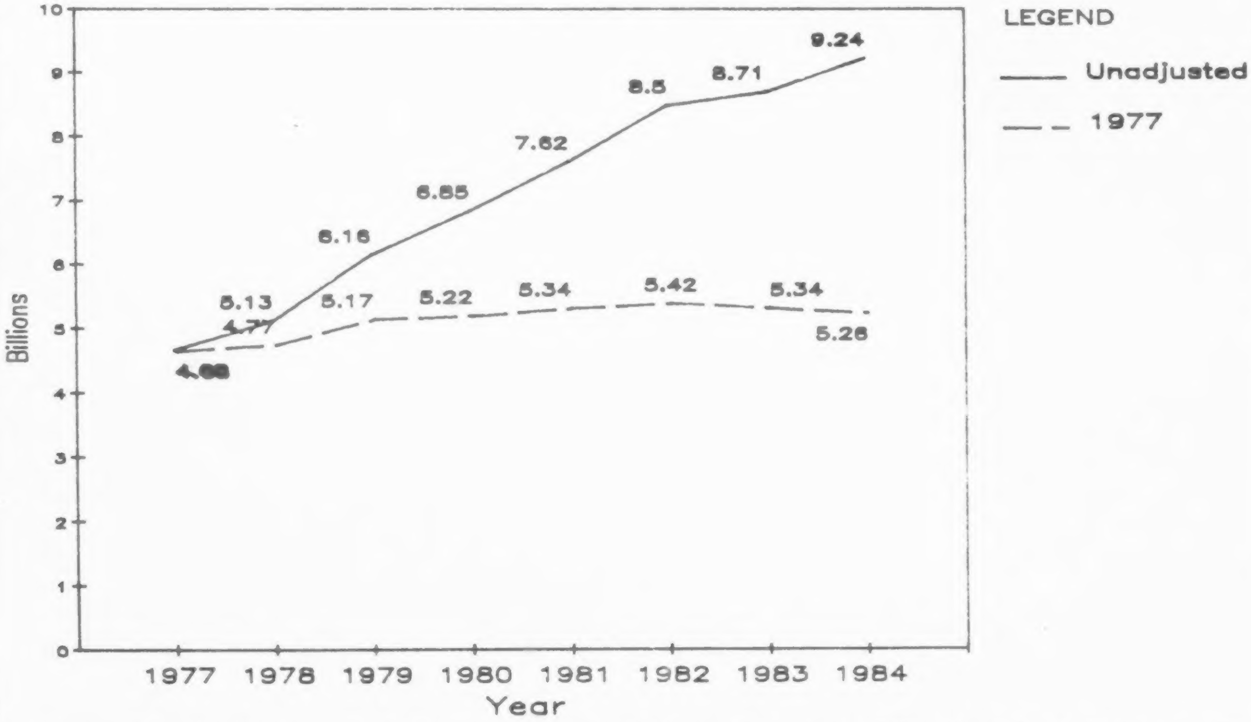
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



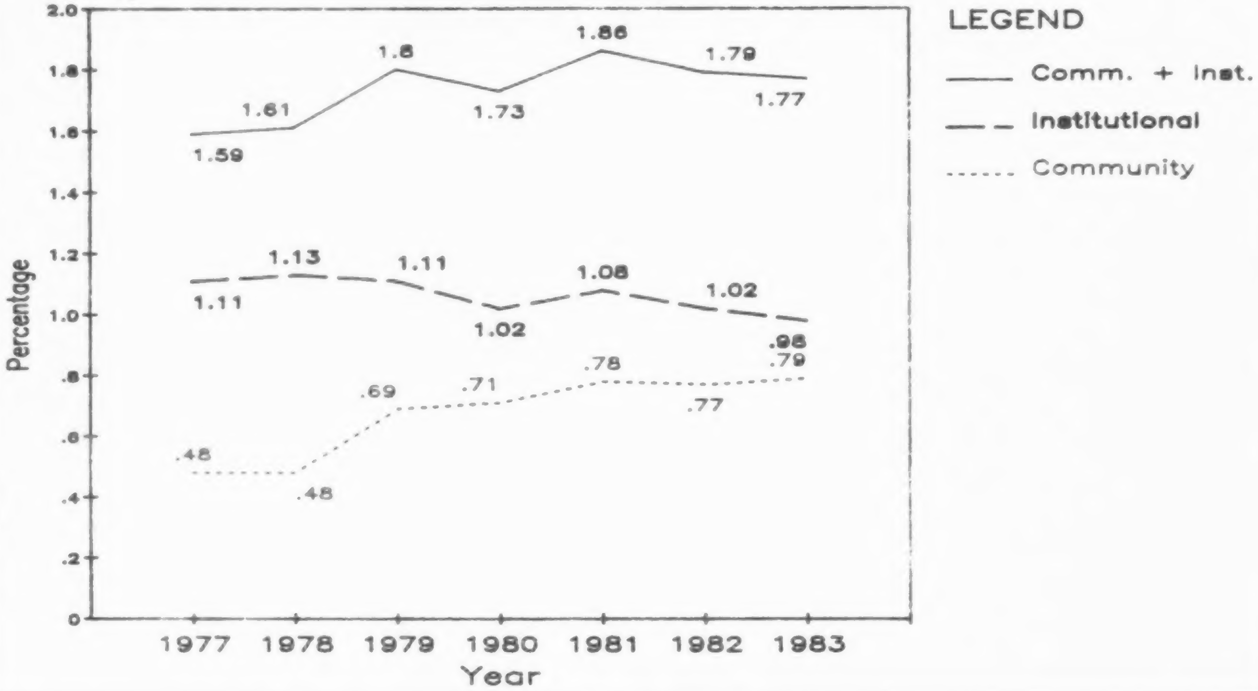
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



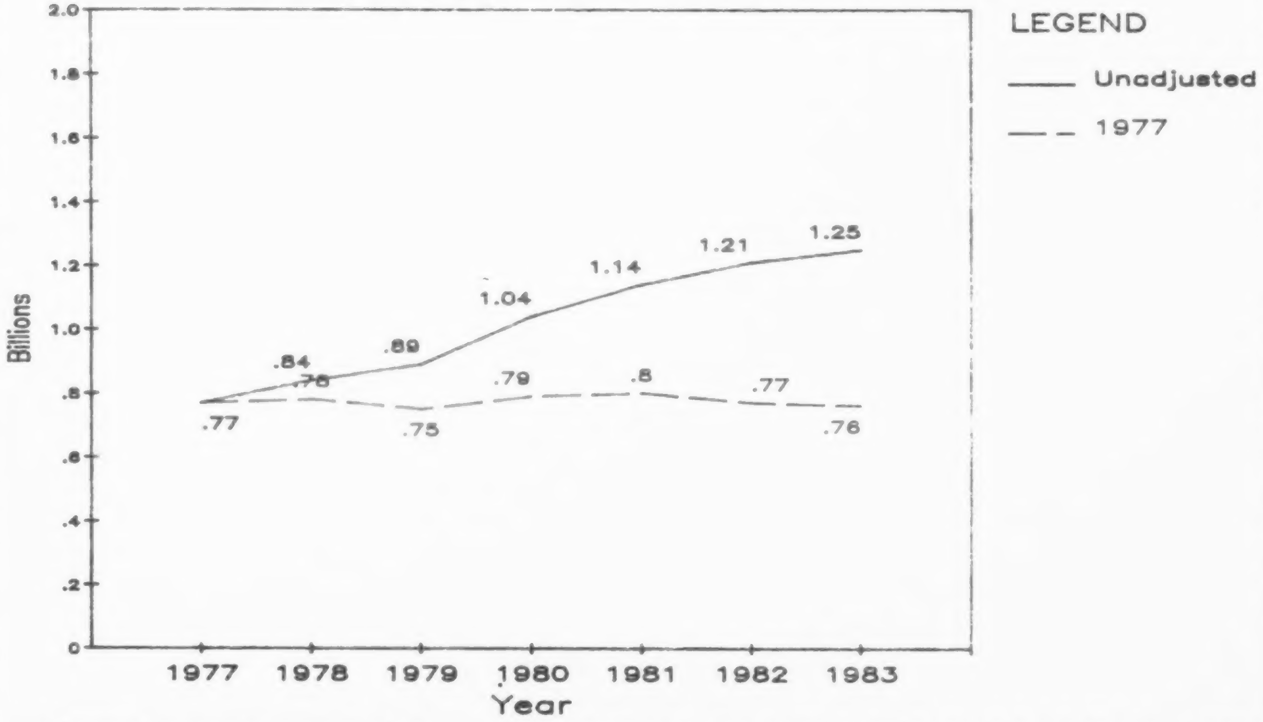
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



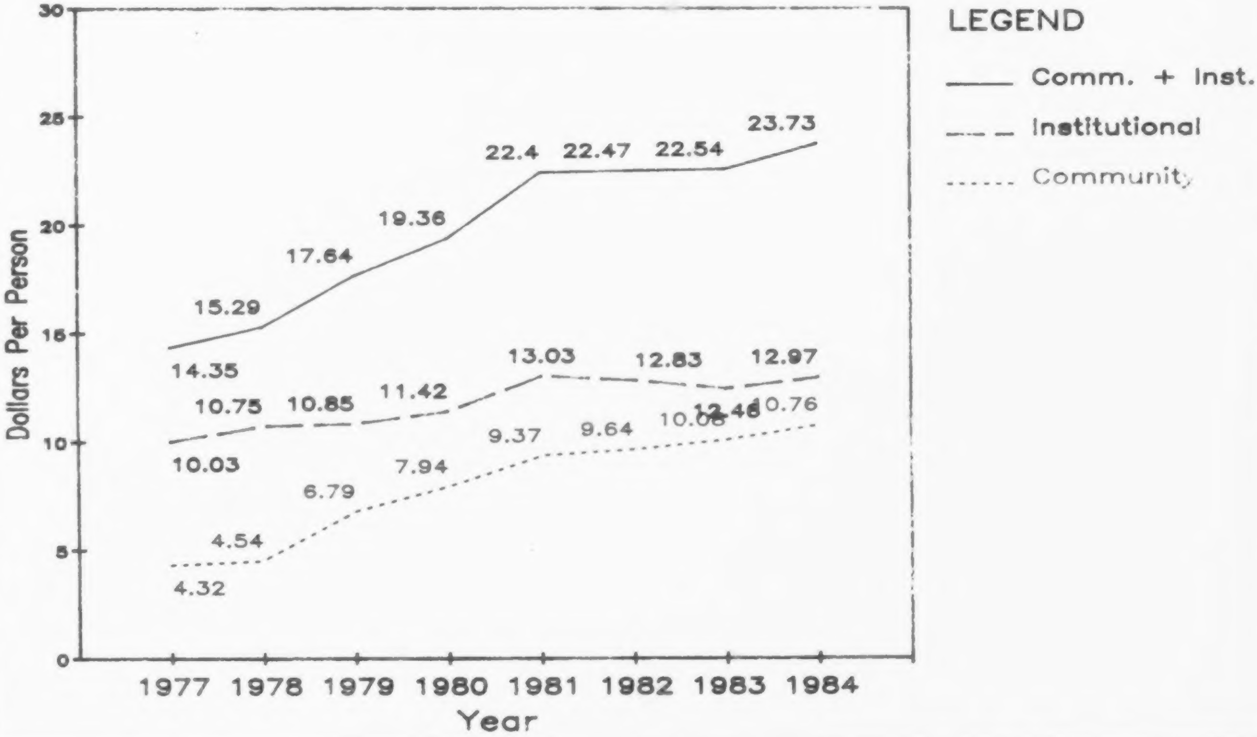
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



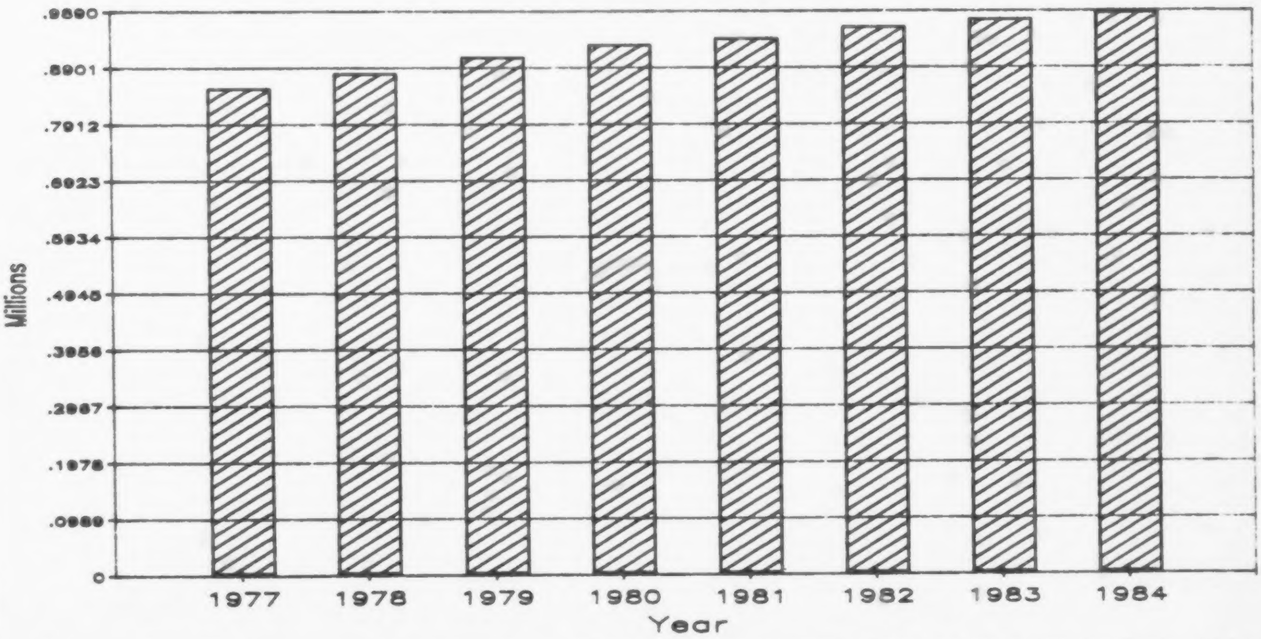
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



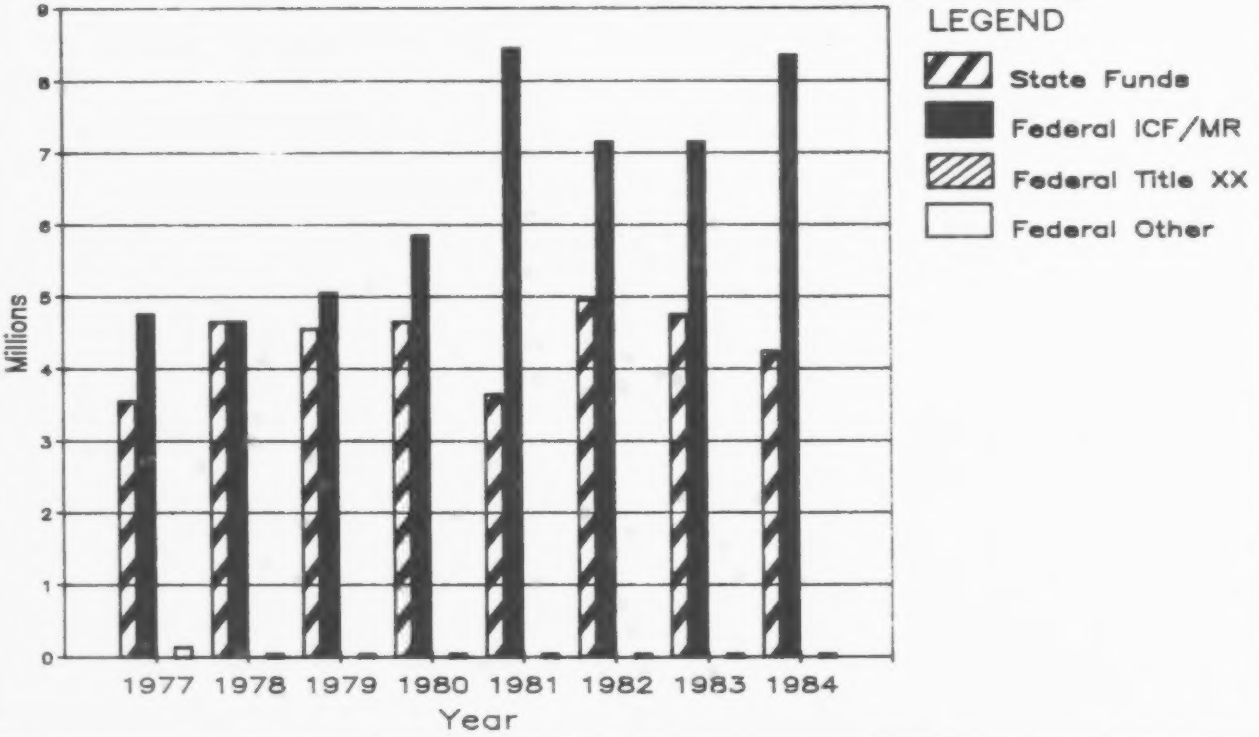
The Total State General Population FY 1977–1984



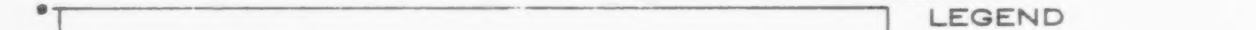
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

IDAHO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



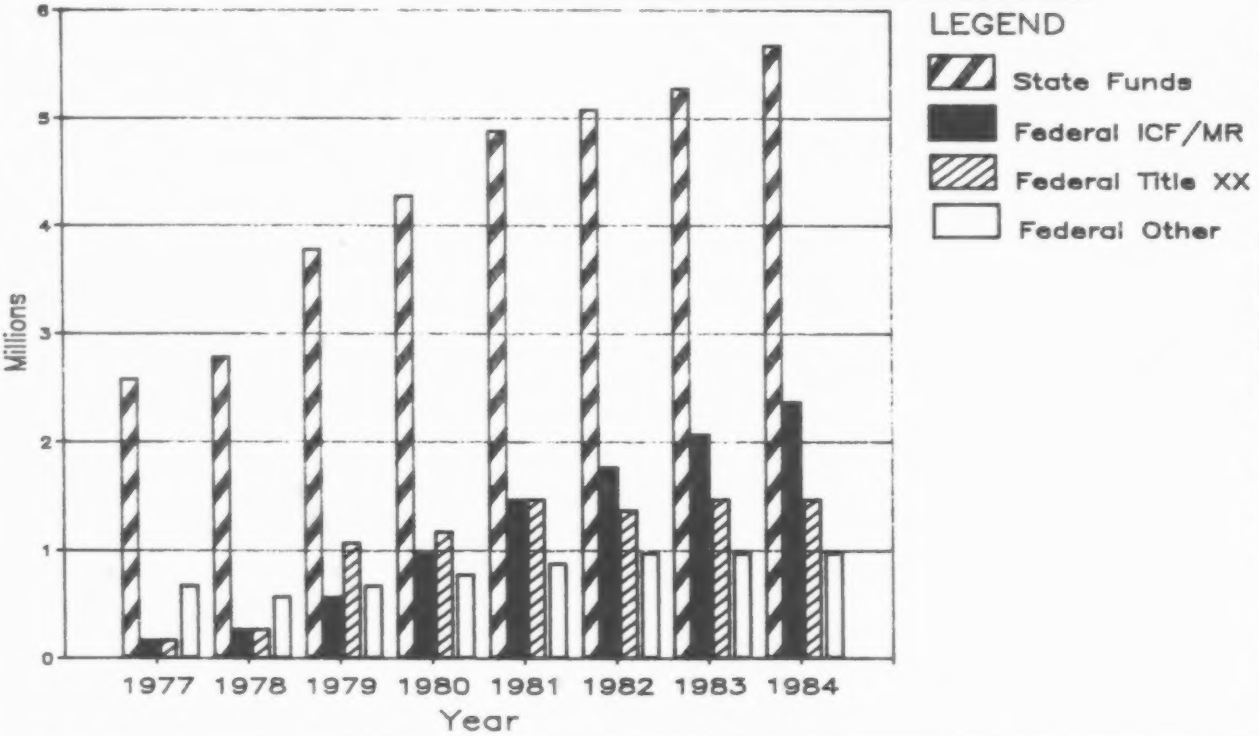
FY 1977–1984, *In 1977 Dollars*



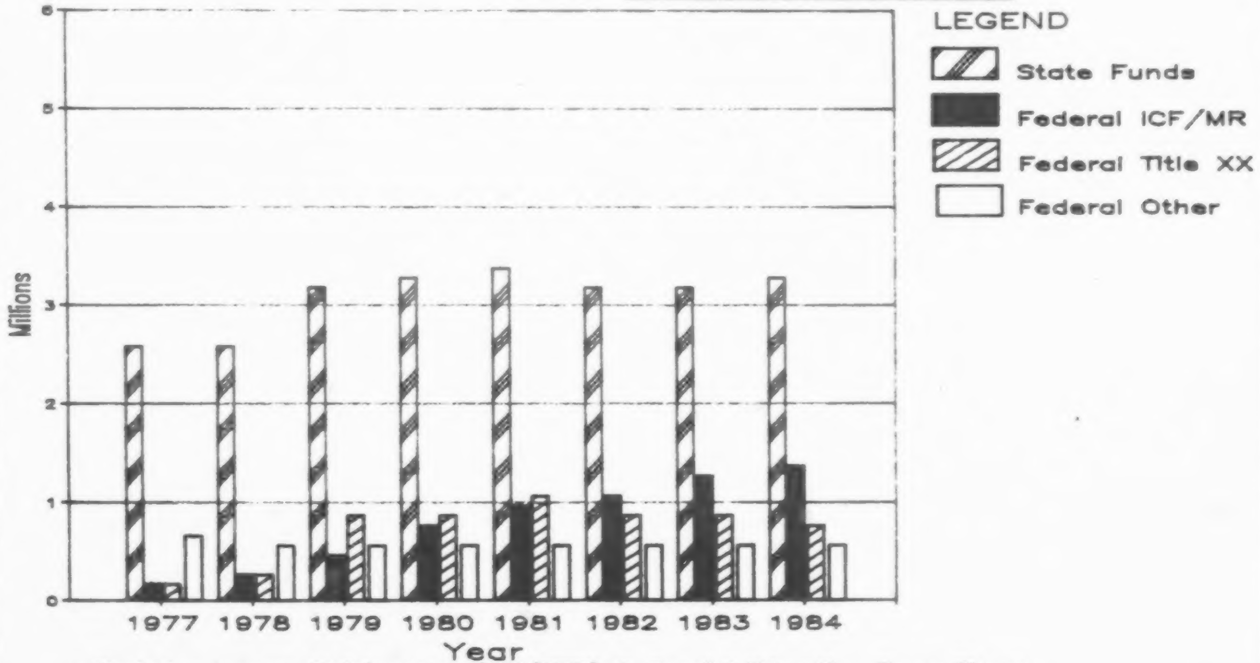
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



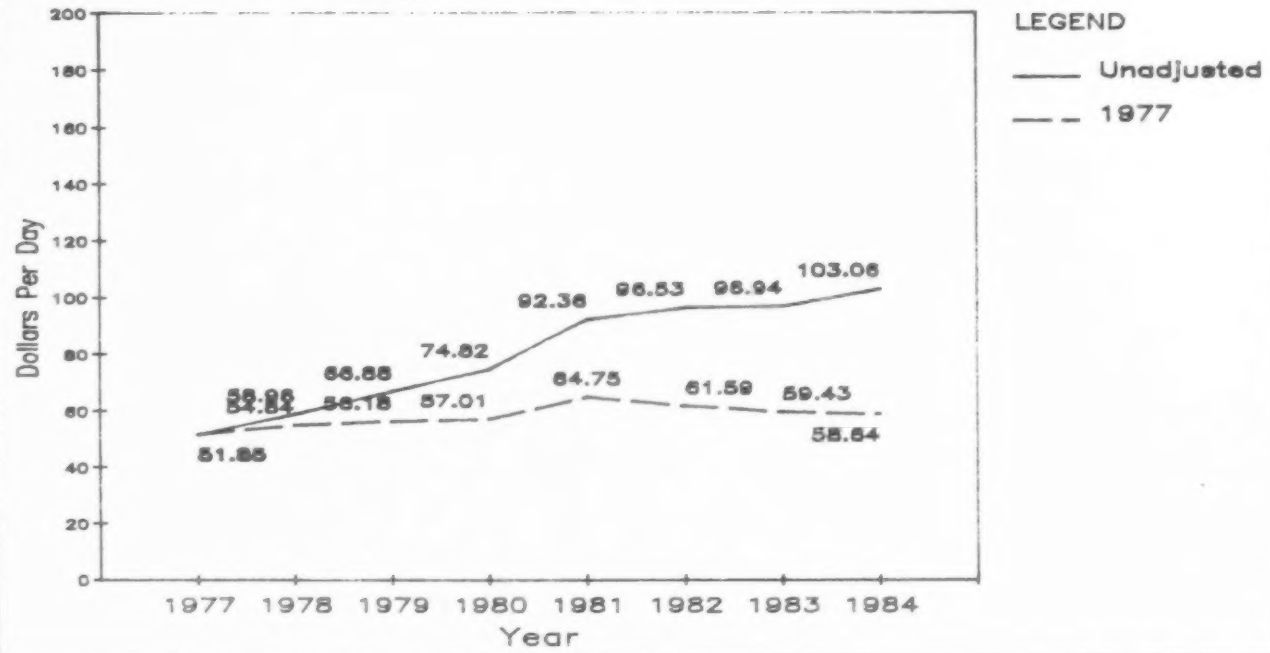
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

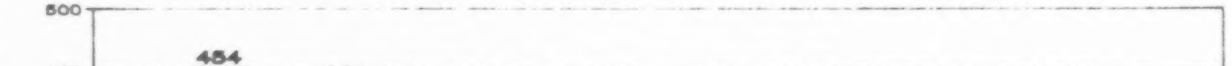
IDAHO

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IDAHO

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services in Idaho are administered by the Division of Community Rehabilitation in the Department of Health and Welfare.

2. Budget Format: The budget categories for MR/DD are in the following format:

   Department of Health and Welfare
     Division of Community Rehabilitation
     Program 74: Community Developmental Disability Services
     Expenditure Summary: By source
       General
       Miscellaneous Receipts
       Cooperative Welfare (F)

     Program 75: Institutional Developmental Disability Services
       General
       Miscellaneous Receipts
       Cooperative Welfare (F)

   Expenditures are also displayed by object: Personnel Costs, Operating Expenditures, Capital Outlay, and Trustee and Benefit Payments.

   Starting in the FY `82 budget with actual FY `80 figures, the fund source categories for both Community and Institutional Services changed to:

     General
     Federal
     Enterprise

   In the FY `83 budget, the funding category "Other" was added. The category "Miscellaneous Receipts" (changed to "Enterprise Fund" for FY `80 only) includes Title XIX funds, both federal and state share and patient private pay receipts. The "Cooperative Welfare Fund" (which became the "Federal" category in FY `80) is a general category for federal (and, in some cases, state) program funds, such as Title XX and DDSA. The federal share of Title XIX was also included under the "Federal" category starting FY `81.

3. Note on Data Sources: Actual expenditure figures for fiscal years 1977-`83 were taken from the Executive Budgets for `78-`79, `80-`81 and `81-`82; and the `83-`84 Legislative Budget Book. Appropriation figures for 1984 were provided by Don Nelson, Budget Analyst, Division of Community Rehabilitation (telephone interview, 9/27/83).

II. INSTITUTIONAL SERVICES

4. Institutional Services include funds for one state institution, the Idaho State School and Hospital. The population of the facility has decreased between FY `77 and `84. (Source of figures: Denise Chuckavich and Don Nelson, telephone interviews, 4/17/84.)

Fiscal Year	ISSH Average Daily Census
1977	454
78	441
79	405
80	389
81	365
82	351
83	344
84	340
85	340 projected

5. State General Funds include the funds recorded under "General" in the budget document. In addition, for FY ‘77-80 the following amounts of state share of Title XIX (which is under the "Miscellaneous Receipts" and "Enterprise" categories in the budget) are also added into the General Fund ($ in thousands).

FY	State Share XIX
77	$2252
78	2718
79	2945
80	3079

6. Other State Funds. Included in the state budget category "Miscellaneous Receipts" is Title XIX State and Federal share and patient private pay receipts. According to the Budget Analyst for the Division of Community Rehabilitation (telephone interview, 9/27/83), an exact figure for patient receipts was not easily obtainable, but he estimated it to be approximately $500,000 per year. Therefore $500,000 was subtracted from the total "Miscellaneous Receipts" category for FY 77-80 and is recorded under Other State Funds.

   From FY ‘81-84, the funds recorded in this line appear in the budget under the category "Other". According to the Division Budget Analyst (telephone interview, 9/27/83), they include such things as private pay receipts and rent payments from farmland owned by the institution.

7. Title XIX. As explained in footnote 2, the federal and state share of Title XIX was included in the "Miscellaneous Receipts" category from FY ‘77-79 and the "Enterprise" fund category in FY ‘80. The following federal share matching rates were obtained from HCFA for figuring the state and federal shares of the gross Title XIX figure in the budget.

FY	Federal XIX Matching Rate
1977	68.18%
1978 and ‘79	63.58%
1980 and ‘81	65.70%
1982 and ‘83	65.43%
1984	67.28%

   Starting in FY ‘81, the federal share of Title XIX is reported separately in the Budget under the category "Federal." Also mixed into the Federal line from FY ‘81-84, according to the Division Budget Analyst is federal Title I, ESEA funds. The analyst estimated Title I to comprise 1-2% of the Federal category, so 1.5% was deducted each year, FY ‘81-82, leaving only the federal Title XIX.

8. Other Federal Funds refer to the "Cooperative Welfare Fund" in the Budget from FY ‘77-79. According to the Division Budget Analyst (9/27/83), this fund is a general budgetary category. The funds appearing in this category under the Idaho State Training School represent small federal programs such as Title I ESEA. In FY ‘80 these Title I funds were the only ones classified under the "Federal" category in the Budget, so the figures were taken directly from the budget. In FYs ‘81-‘84, these Title I funds appear in the budget under "Federal" but are combined with Title XIX. As mentioned in Footnote 7, 1.5% of the total "Federal" was deducted to estimate the funds for the Title I federal education program, which appear in this line.

III. COMMUNITY SERVICES

9. Community Services include: (1) day activity programs at the "Adult and Child Development Centers" across the state, which are run by the 7 Regional Offices; (2) the 7 Regional Offices; and (3) the DD Council. These programs are under "Community DD Services" in the Executive Budget.

10. General Fund: Community DD Services as it appears in the Budget also included centralized state administration. In accordance with the general definitions of this study, administration has been excluded. The Division Budget Analyst provided the following estimates of central state administration costs (9/27/83). These amounts were deducted from the "General" line under Community Services ($ in thousands).

Fiscal Year	Administrative Costs
1977	$ 250
`78	250
`79	250
`80	250
`81	307
`82	351
`83	405
`84	252

11. Other State Funds. Other State Funds are client fees, insurance, and donations. In the Executive Budget, these funds were combined with Medicaid receipts under "Other." The Division Budget Analyst (telephone, 9/27/83) provided the detailed funding breakdown. The Adult and Child Development Centers (ACDCs) require families to pay a fee for service.

12. Title XIX. Dr. Paul Swartsenbarg (Chief of the Bureau of Adult and Child Development in the Division of Community Rehabilitation), who heads the DD program, said that two of the regional offices had submitted to HCFA Medicaid Waiver requests in May 1983, but as of October they had not received final approval and therefore no additional funds appear in the 1984 budget. The only community-based ICF/MR's in the state are privately run facilities (Note 15).

13. Title XX. According to Don Nelson, Title XX funds were classified under the "Cooperative Welfare Fund," and under "Federal" funds in the Executive Budget, for FY 1977-78 and FY 1979-84, respectively. The state matching funds are in the General Fund.

14. Other Federal Funds. Other Federal Funds include DD Council funds and Medicaid funds. Idaho is a minimum allotment state for DDSA, so the minimum grant amount, presently $250,000, is included each year in this line. In the Executive Budget, these DD Council funds are classified under "Cooperative Welfare Fund" and "Federal" funds along with the Title XX funds.

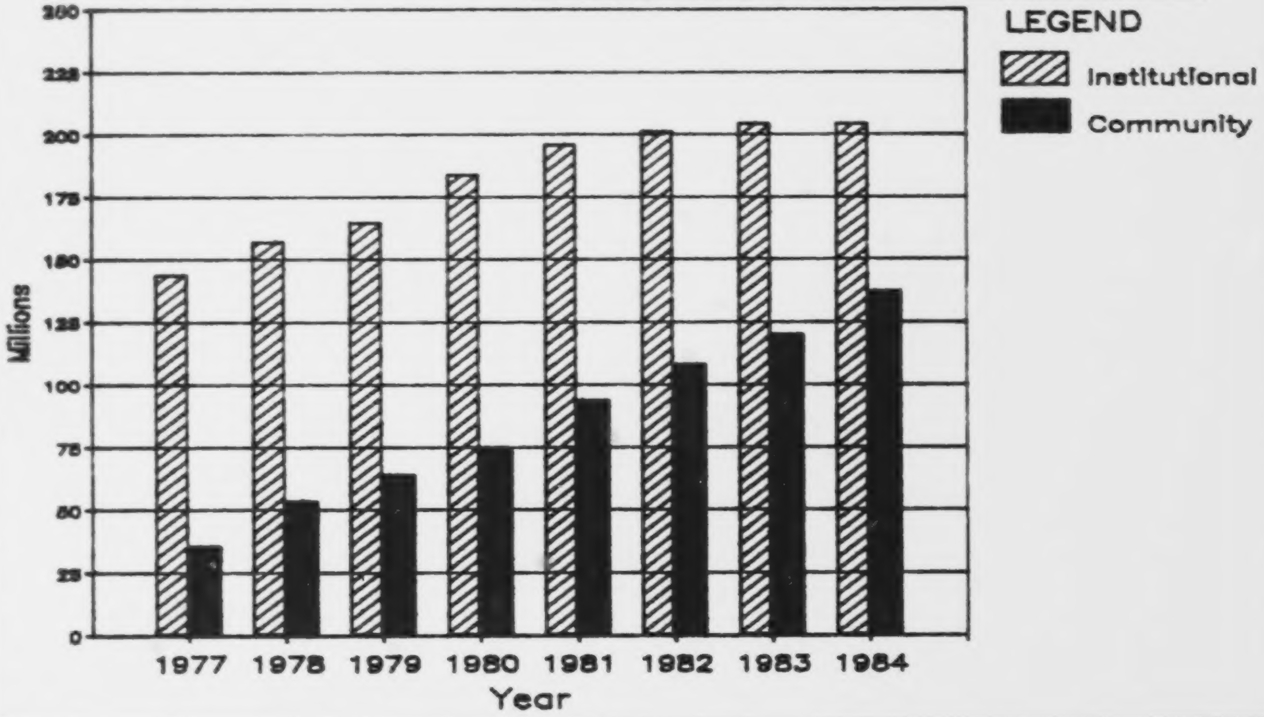
    Also included in this line are Medicaid receipts. The ACDCs provide medical services to DD clients (in addition to day activity services, case management and diagnostic services funded by GF and Title XX). These medical related Medicaid funds are recorded under Other Federal Funds rather than under Title XIX in this analysis to distinguish them from ICF/MR Medicaid funds. The following estimates of Medicaid Federal funds used for medical purposes were provided by the Division Budget Analyst (9/27/83) ($ in thousands).

FY	Non-ICF/MR Medicaid	FY	Non-ICF/MR Medicaid
`77	$ 477	`81	$ 661
`78	367	`82	754
`79	462	`83	779
`80	547	`84	794

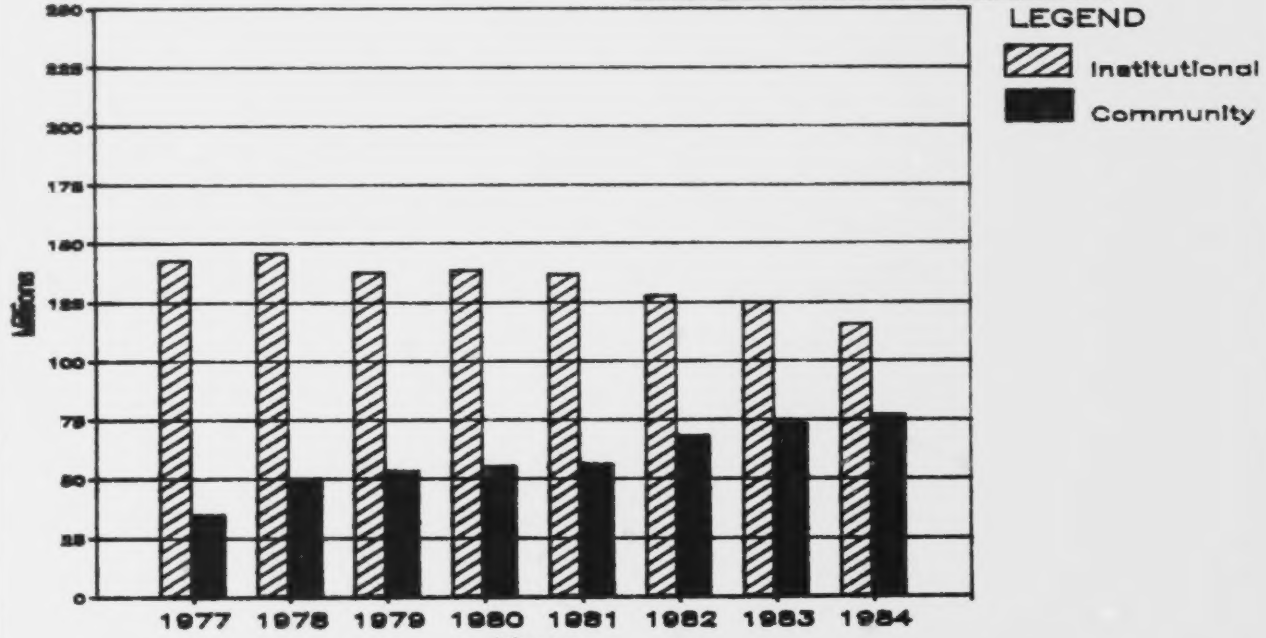
15. Private ICF/MR. Private ICF/MR expenditures were provided by Dick Humiston, Medical Assistance Payments Division, Department of Health and Welfare (telephone interview, 10/4/83).

ILLINOIS
STATE PROFILE

ILLINOIS
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

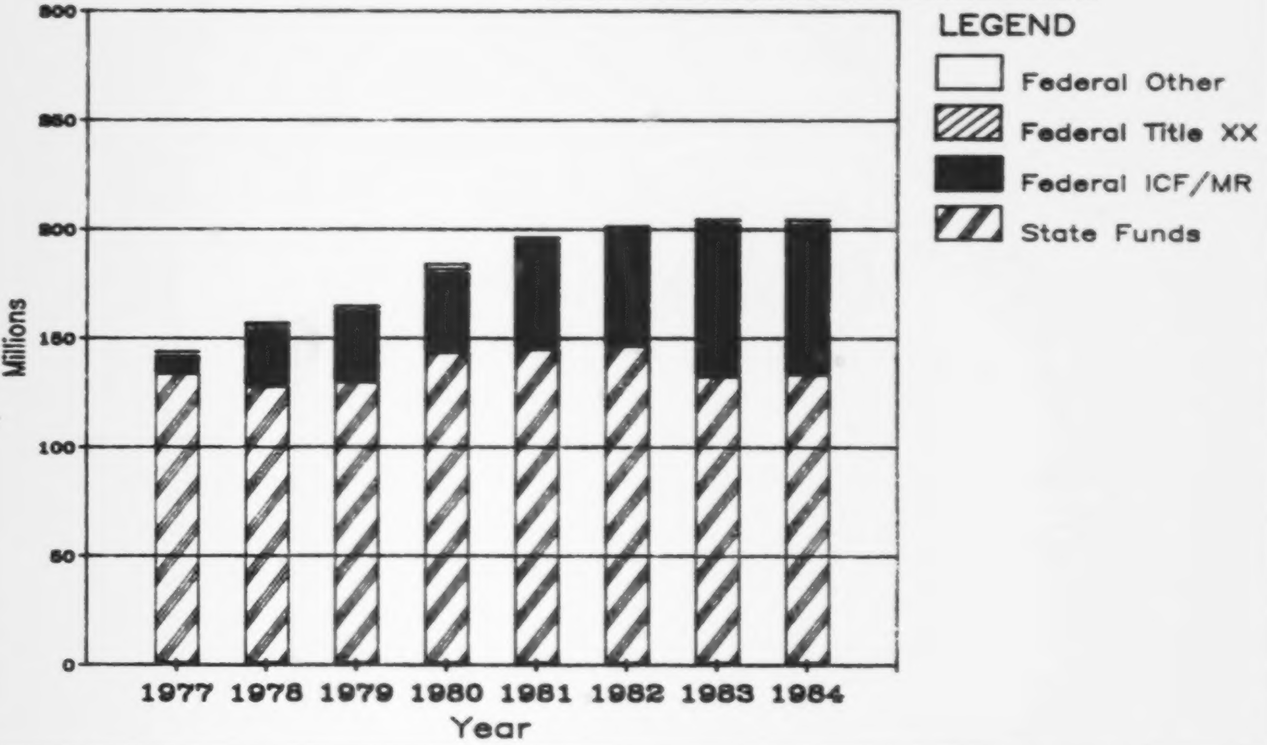


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

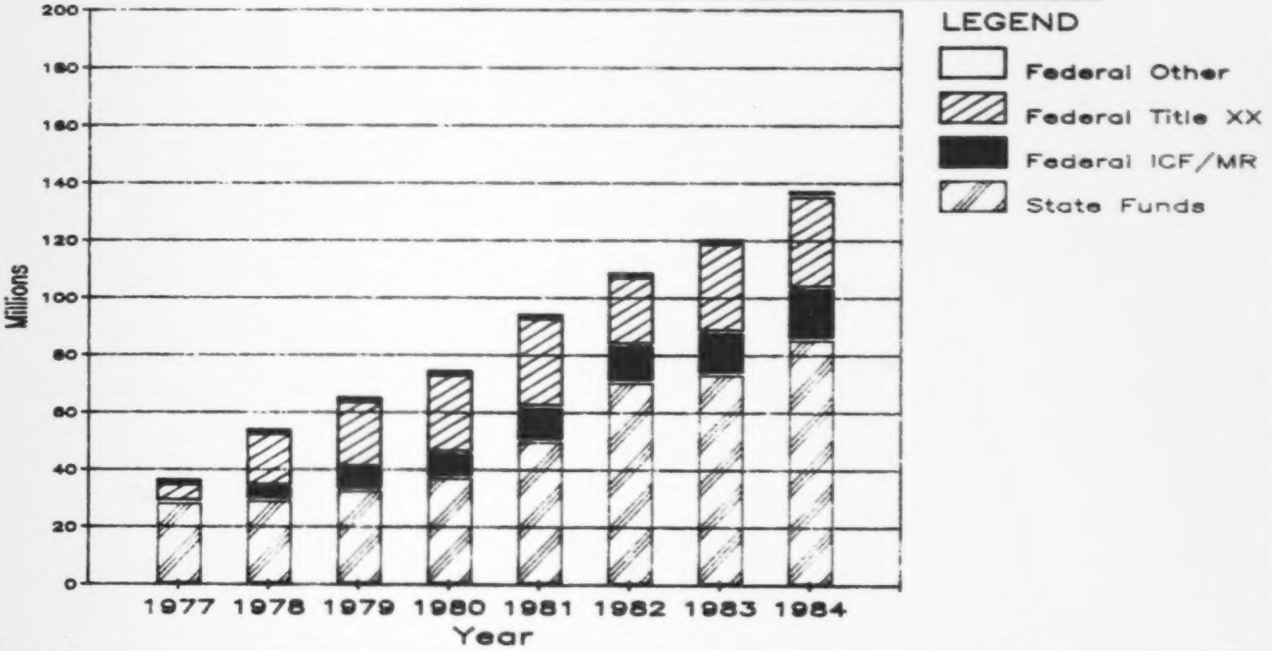
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS

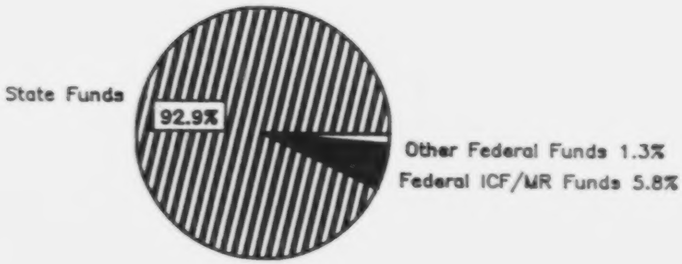
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



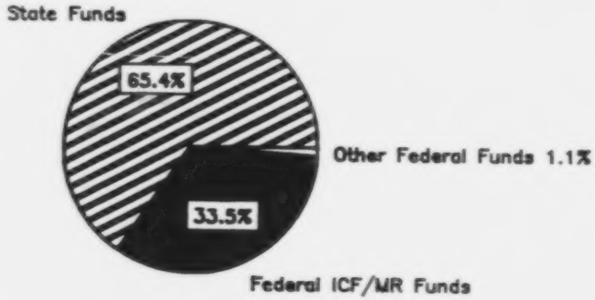
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



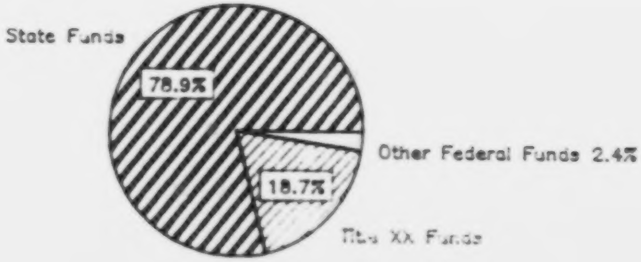
ILLINOIS
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



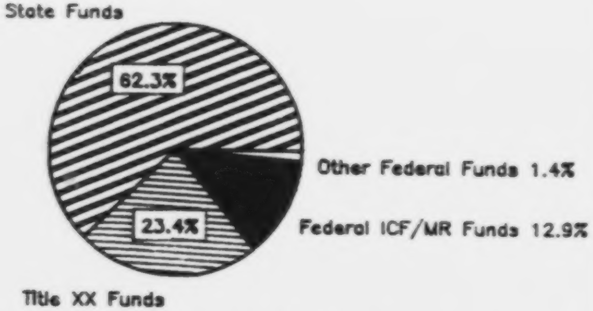
Institutional: 1977 Total Funds—$145 Million



Institutional: Total Funds—$205 Million



Community: 1977 Total Funds—$36 Million



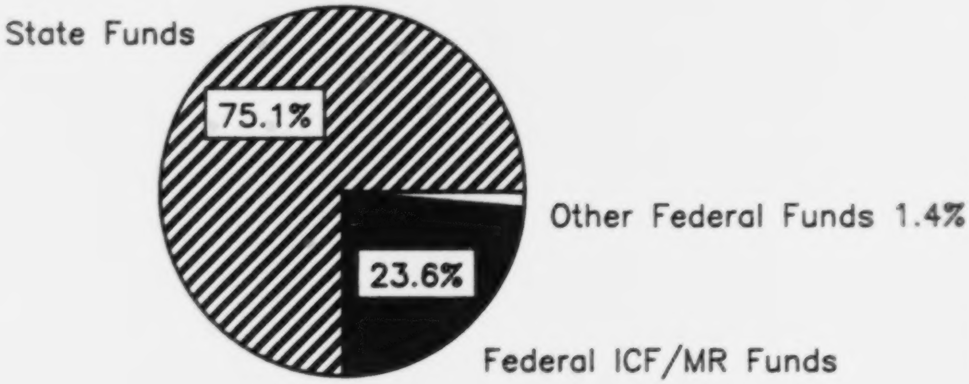
Community: 1984 Total Funds—$138 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

ILLINOIS

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

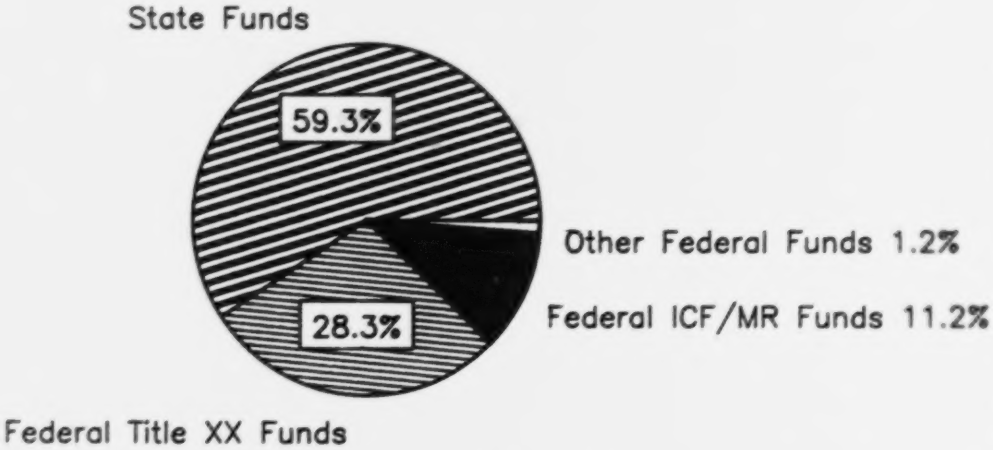
Institutional Services Funds



Total Institutional Dollars: $1.46 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

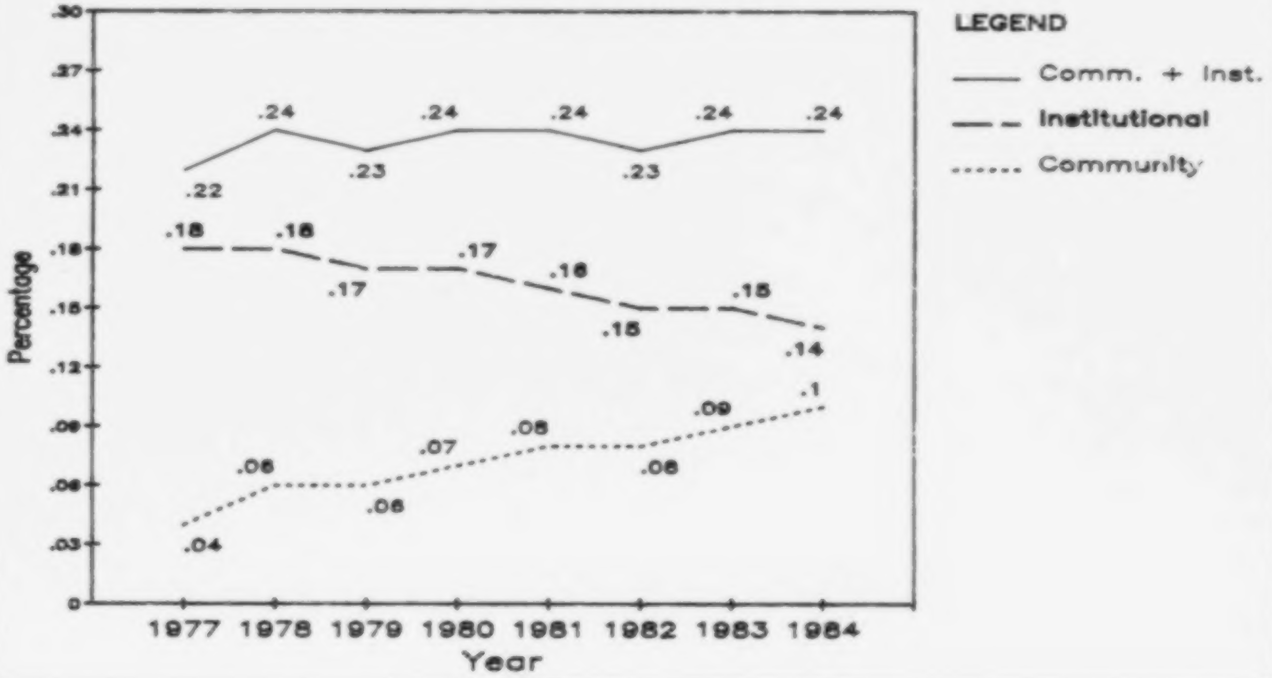


Total Community Dollars: $691 Million

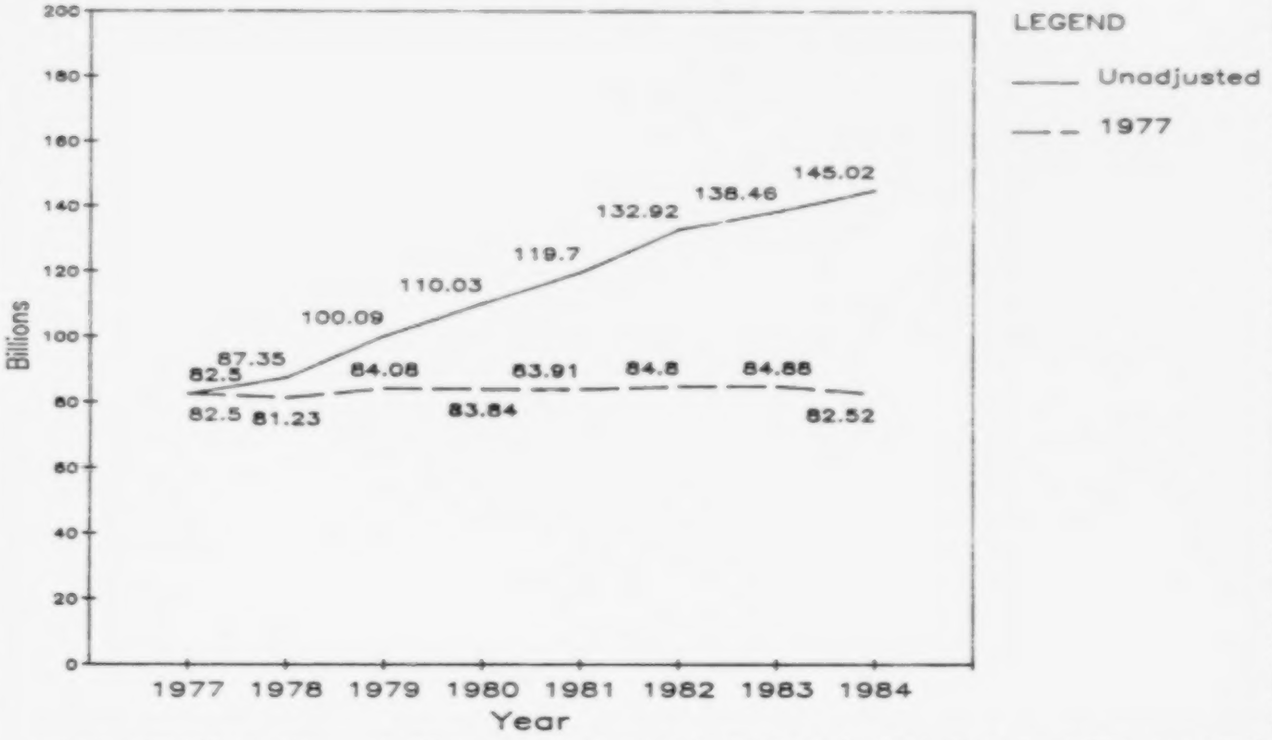
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



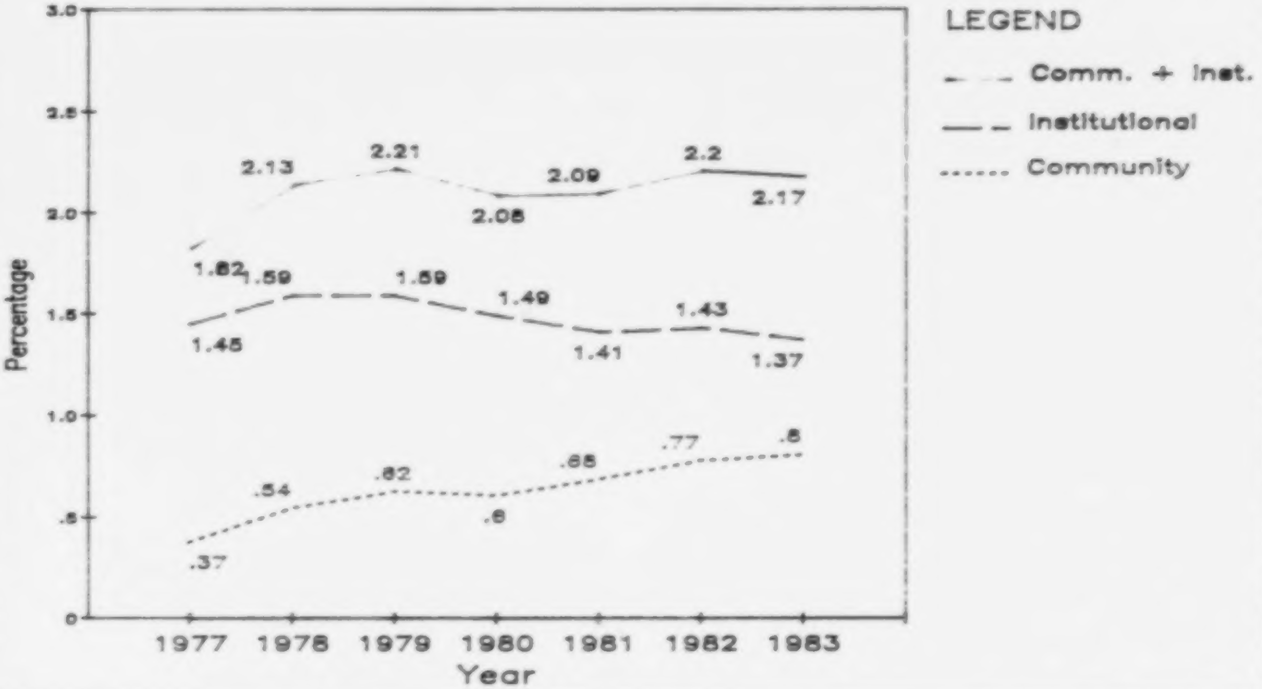
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



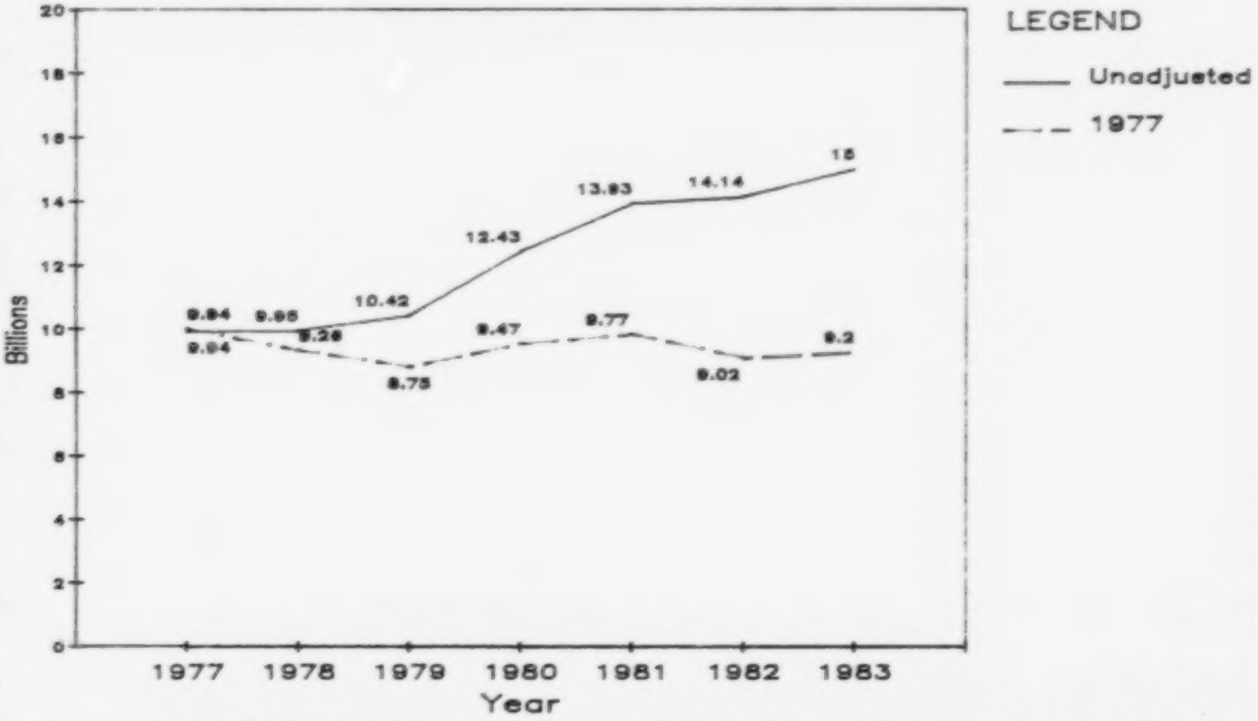
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

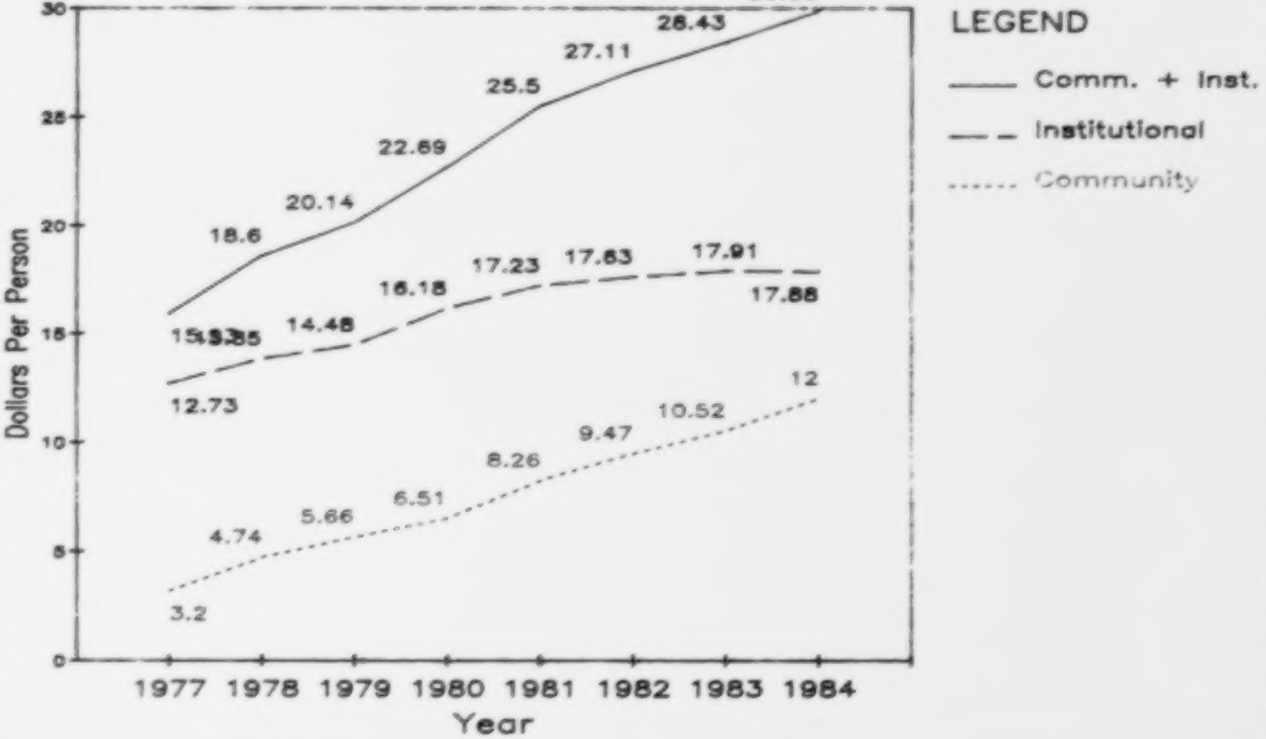


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

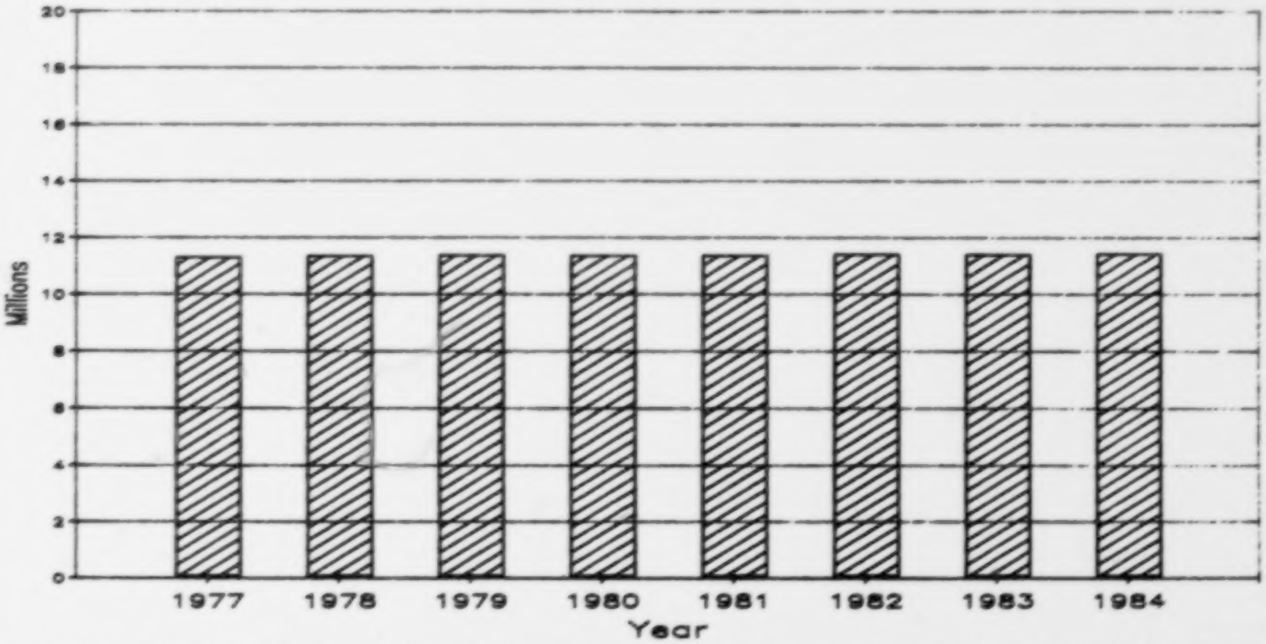


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

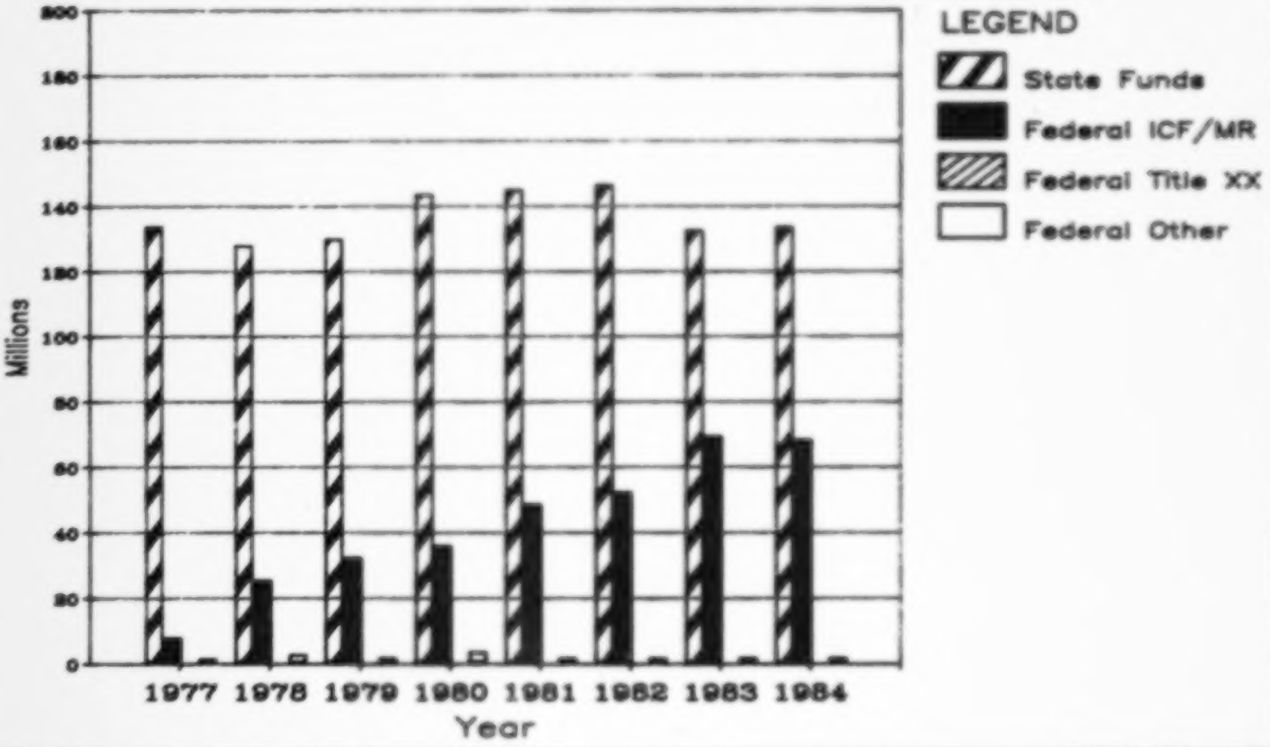


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

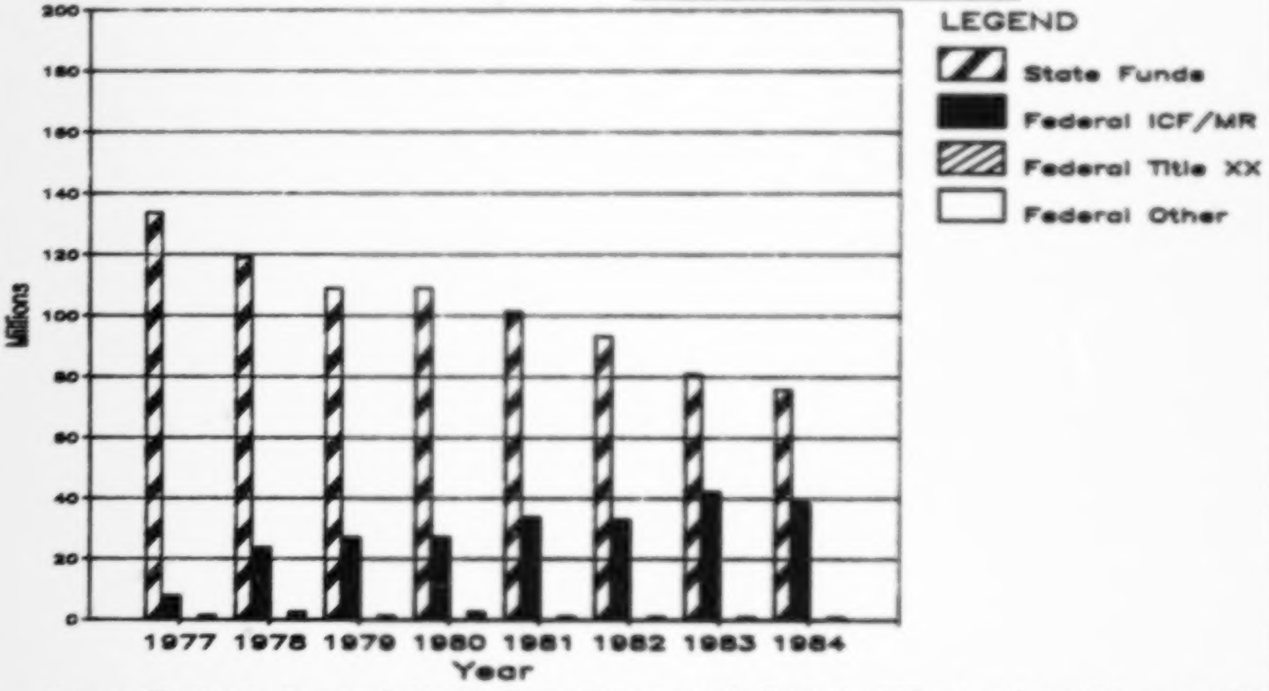
ILLINOIS

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



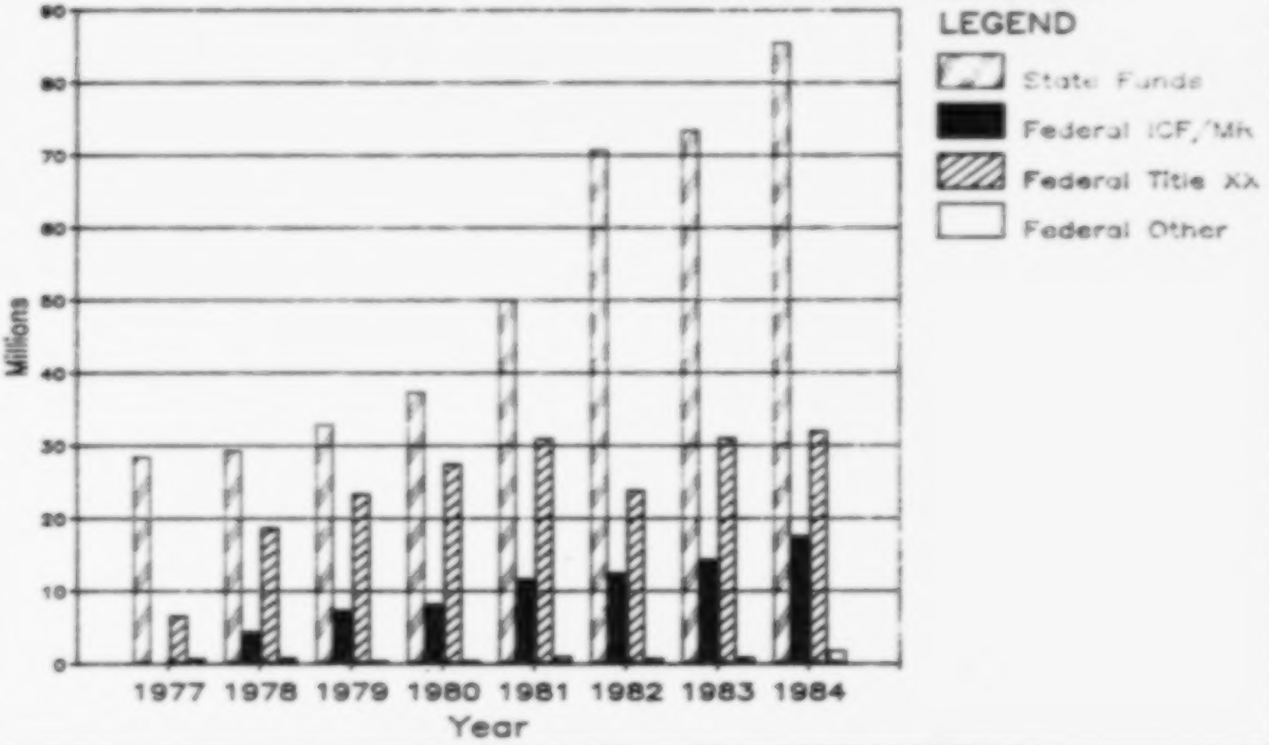
FY 1977–1984, *In 1977 Dollars*



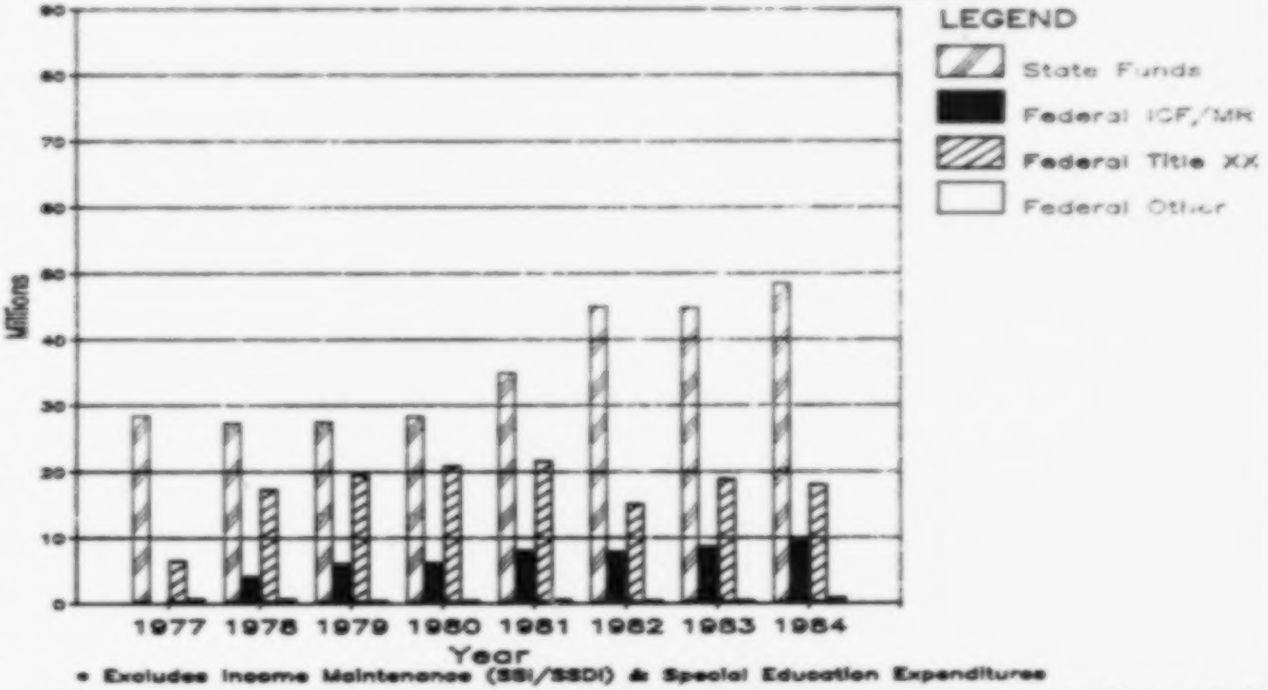
Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



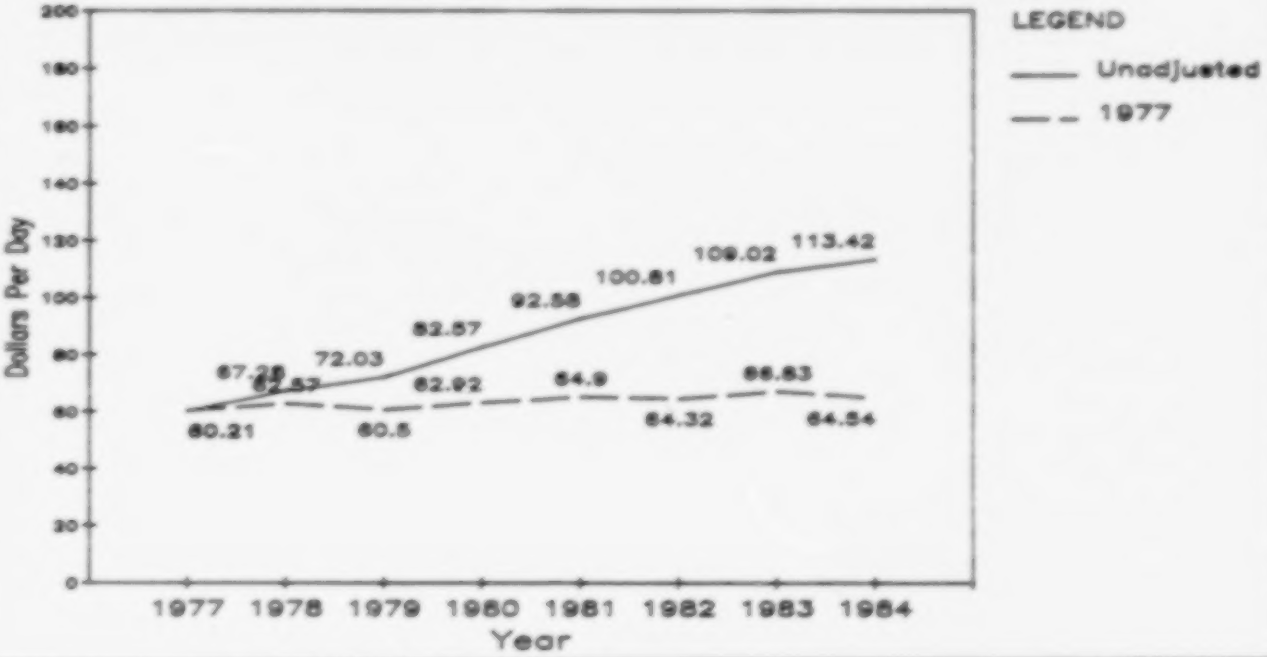
FY 1977–1984, *In 1977 Dollars*



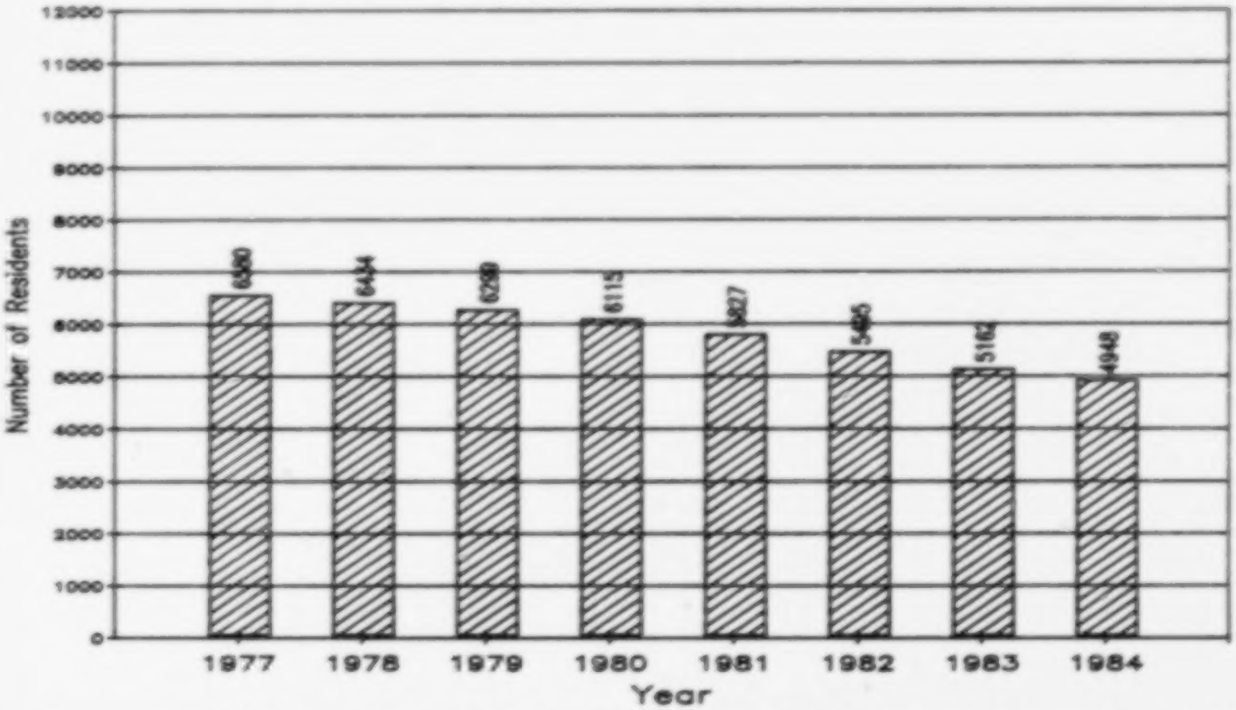
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

ILLINOIS

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: DD services in Illinois are administered by the Division of Developmental Disabilities of the Department of Mental Health and Developmental Disabilities (DMH/DD). The Division of DD was established in 1974.

2. Budget Format: The sections of the Illinois State Budget that pertain to MR/DD services are formatted as follows:

   Department of Mental Health and Developmental Disabilities

   Appropriations Requiring General Assembly Action
   General Revenue Fund
   Mental Health Fund
   DMH/DD Federal Projects
   Other Resources
   Federal Labor Projects
   Amusement Fund
   Gifts, Donations, and Bequests

   (Note: These same funding sources are listed under each of the following program divisions in the Department.)

   Divisions:
   Region I Field Services (and five others)
   Dixon Developmental Center (and all other MR & MH state institutions)
   Community Based Programs for DD

3. Note on Data Sources: The State Funds totals contain central office administrative charges which amount to between 2% and 3% of the total Institutional-Community State Funds totals. The State Funds category in this analysis is comprised of "General Revenue Fund" appropriations, and monies dedicated to the state's "Mental Health Fund" from state bingo receipts, which must be used for community services.

   To determine the share of all central office expenses to be allocated to DD, as opposed to MI and Alcohol/Drug programs, the percentage of total departmental resources represented by the DD share was computed. This rate, slightly above 50% between FY 1980-84, was then applied to the total central office budget for administrative expenses.

II. INSTITUTIONAL SERVICES

4. Institutional Services refer to those funds supportive of operations of the Illinois Institute for DD, a research and training facility, and the following developmental centers: Howe, Ludeman, Waukegan, Dixon, Lincoln, Murray, Shapiro, Bowen (closed), Adler (closed), and Fox. Virtually all residents of these facilities are DD individuals. A significant number of the residents served in several other state "Mental Health Centers" or "Mental Health and Developmental Centers" are also DD persons. These facilities, with the 1984 percentage of DD clients served therein, are as follows: Jacksonville (100%); Galesburg (49%); Anna (56%); Singer (19%); Elgin (11%); Meyer (34%); Alton (44%).

The aggregated MR/DD institutional population has been:

FY	Mid-Fiscal Year Population
1977	6,580
1978	6,434
1979	6,299
1980	6,115
1981	5,827
1982	5,495
1983	5,162
1984	4,948

Source: DMH/DD Monthly Statistics.

These figures represent "residents plus home visits at DMH/DD inpatient facilities." In order to approximate an average of the daily population at the facilities over the entire fiscal year, we averaged the beginning FY count and end of FY count which appear in the Monthly Statistics, resulting in the mid-fiscal year figure.

5. Title XIX funding levels were obtained from the Illinois DMH/DD Financial Management Branch, Mr. Bob Gray, August, 1983. Title XIX funding in Illinois commenced in 1974.

III. COMMUNITY SERVICES

6. Community Services include Illinois DMH/DD appropriations from "General Revenue"; collections from private parties and bingo receipts (labeled Other State Funds in this analysis); and three kinds of federal funds: Title XIX (FY 1984 figures include expected revenues from the Medicaid Home and Community-Based Care Waiver), Title XX, which is Social Services Funding, and several small federal grants including DD Act funds. The small federal programs are included under Other Federal Funds in this analysis. The method used for computing Title XX estimated federal DD share expenditures is complicated and is described below in Note 7.

7. Title XX. The table below displays total Illinois Title XX Social Services funding for FY 1977-`84; total reimbursement claimed or eligible for claims; and total eligible Mental Health and DD claimed funding for reimbursement. Over most of the years of this analysis, approximately 85% of Title XX expenditures for mentally disabled persons have been for DD individuals. Thus, the table applies this proportion to total Mental Health and DD Title XX expenditures. The notes below provide information sources, followed by an explanation of the procedures utilized to determine the DD Title XX Federal Share:

($ in thousands)

	1	2	3	4	5
FISCAL YEAR	ILLINOIS ACTUAL FED. OBL.	TOTAL CLAIMED OR ELIGIBLE $	TOTAL ELIGIBLE $ MI + DD	TOTAL ELIGIBLE $ DD (@.85)	FEDERAL DD SHARE (e)
84	$124,268(e)	$313,617(e)	$95,692	$81,338	$32,223
83	122,819	295,545	88,509	75,233	31,264
82	120,313	278,000	65,706	55,850	24,107
81	144,368	149,518	48,938	41,597	31,197
80	140,347	140,347	43,387	36,879	27,659
79	151,702	151,702	37,377	31,482	23,611
78	118,781	130,750	29,651	25,203	18,902
77	102,653	142,182	10,675	9,073	6,804

Notes to Table:

1. Column #1 source is DHHS Office of Human Development Services, Office of Program Coordination and Review, telephone interview, 9/15/83.

2. Column #2 was obtained from the Column #1 source above for `77-`81; FY 1982 and `83 figures were obtained from the Illinois Department of Public Aid, Bureau of Title XX Social Services, Mr. Richard Palmer, 9/15/83. The 1984 estimate is a projection based on the `84-`83 Federal expenditure ratio of 124:122 in column one.

3&4. Columns #3 and #4 were obtained from the Illinois DMH/DD Management Section, telephone interview, Mr. Bob Gray and Mr. Tom McCarthy, 8/14/83. According to DMH/DD, approximately 85% of combined MI and DD Title XX reimbursement expenditures have been for DD services.

5. This column reflects the Federal share of Title XX during the FY 1977-`84 period. The required 25% state match was discontinued during FY 1981; the FY 1977 to `81 Title XX State share is included within the Community Services State General Fund line in our analysis. Thus, the FY `77-`81 figures in Column #5 are 75% of the "Total Eligible DD $" figures in Column #4.

Method of Determination of DD Federal Title XX:

Since FY 1981, Illinois has "overclaimed" the sums of money it is eligible to receive under the Title XX program. For FY 1982-`84, the table assumes that the proportion of "eligible expenditures" claimed by Illinois in relation to the actual Title XX federal grant payment it received was the same for MR/DD services as that for the overall state program. For example, Illinois overclaimed "total eligible" expenditures and filed this claim for $295,545,000 for FY 1983 with Washington.

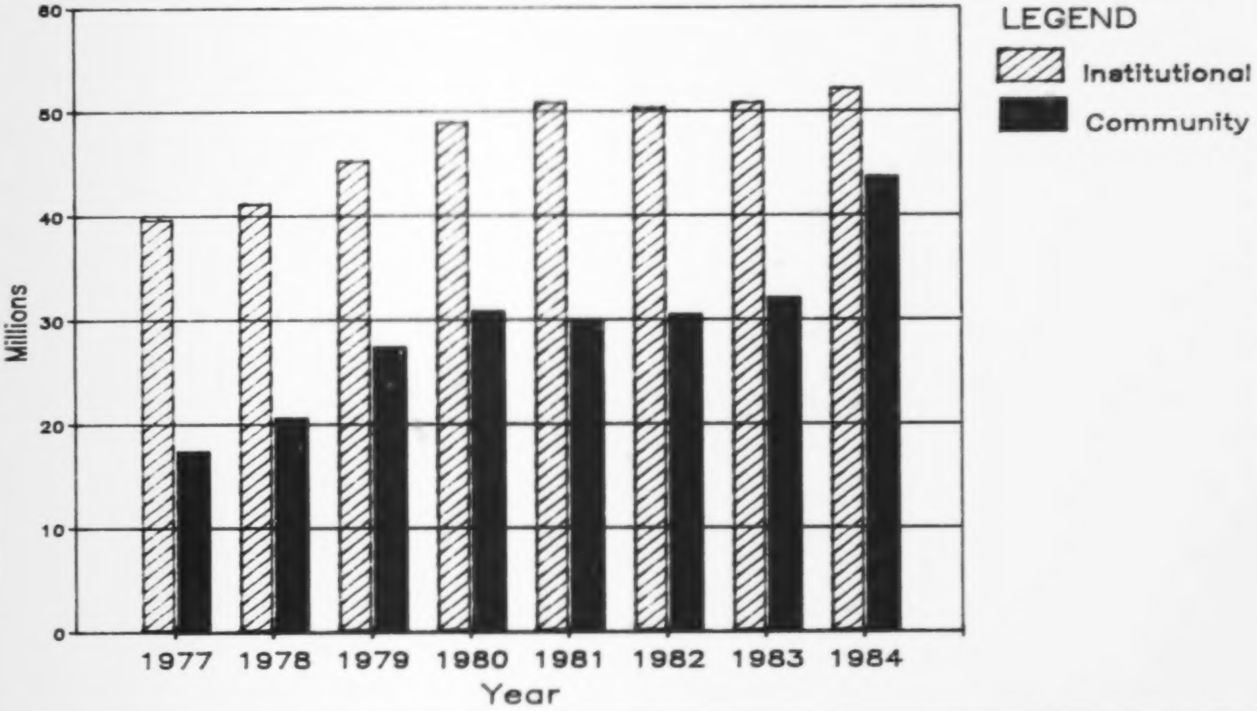
However, since the Title XX funding ceiling is capped, actual obligations were made on a reduced basis to the states and Illinois in FY `83 received only $122,819,000. This ratio (122:295) represents the fraction of actual federal Title XX dollars received by Illinois versus the amount Illinois was eligible to receive for FY 1983. This imputing procedure had to be applied to Title XX federal obligations (Column #1) for FY 1982-`84. Prior to FY 1982, Illinois did not "overclaim" eligible reimbursements therefore, such a procedure is not required for these earlier calculations.

8. Private ICF/MR funding levels were obtained from the following source: Geralyn Wiechert, Illinois Department of Public Aid, Medical Assistance Branch (letter, 9/15/83). The figures in the table aggregate ICF/MR 15 Beds and Under payments, ICF/MR 16 Beds and Over payments, and Specialized Living Centers (state constructed, privately leased and operated 50-100 bed facilities). Skilled Nursing Facility/Pediatric Medicaid payments are excluded from the total. ICF/MR 15 Beds and Under funding has been:

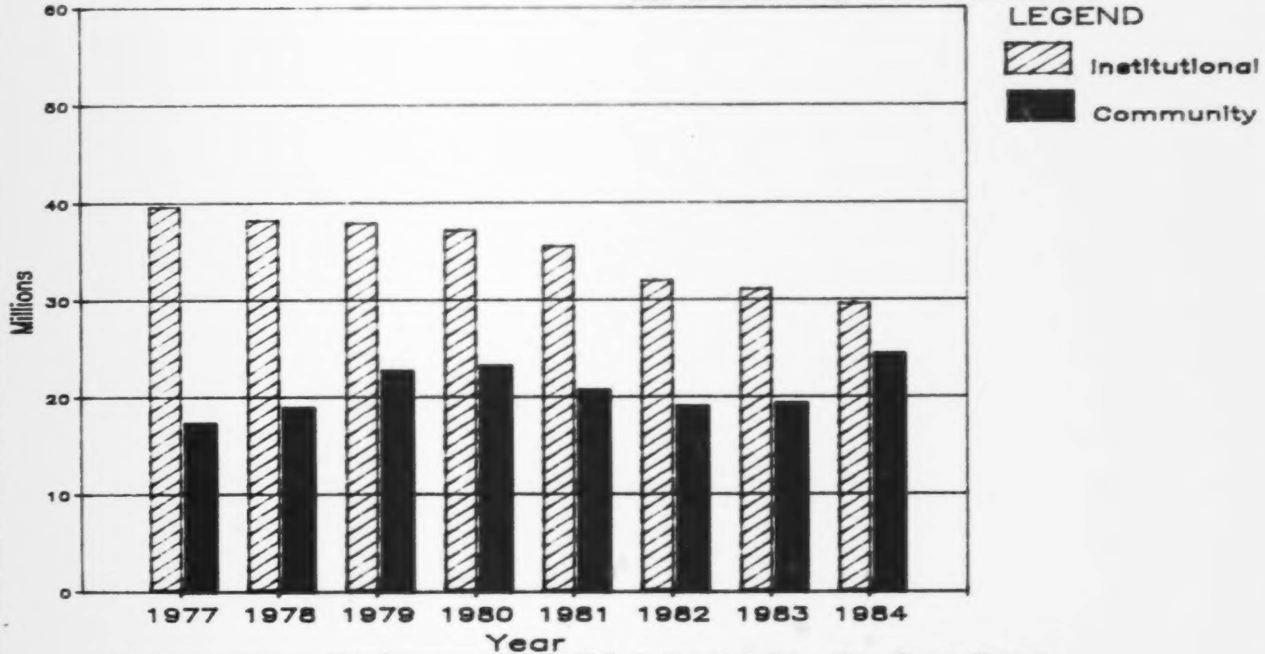
1982 - $ 500,000
1983 - 1,100,000
1984 - 960,000

INDIANA
STATE PROFILE

INDIANA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977—1984, *In Unadjusted Dollars*



FY 1977—1984, *In 1977 Dollars*

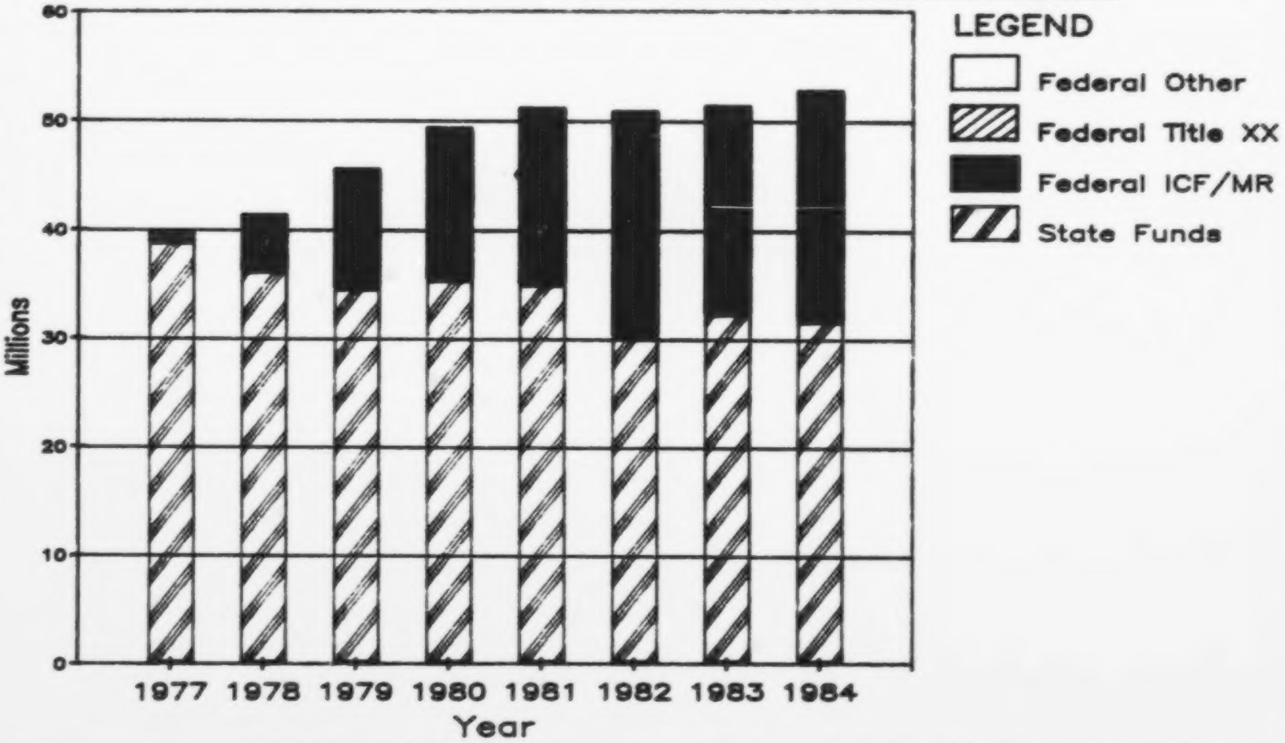


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

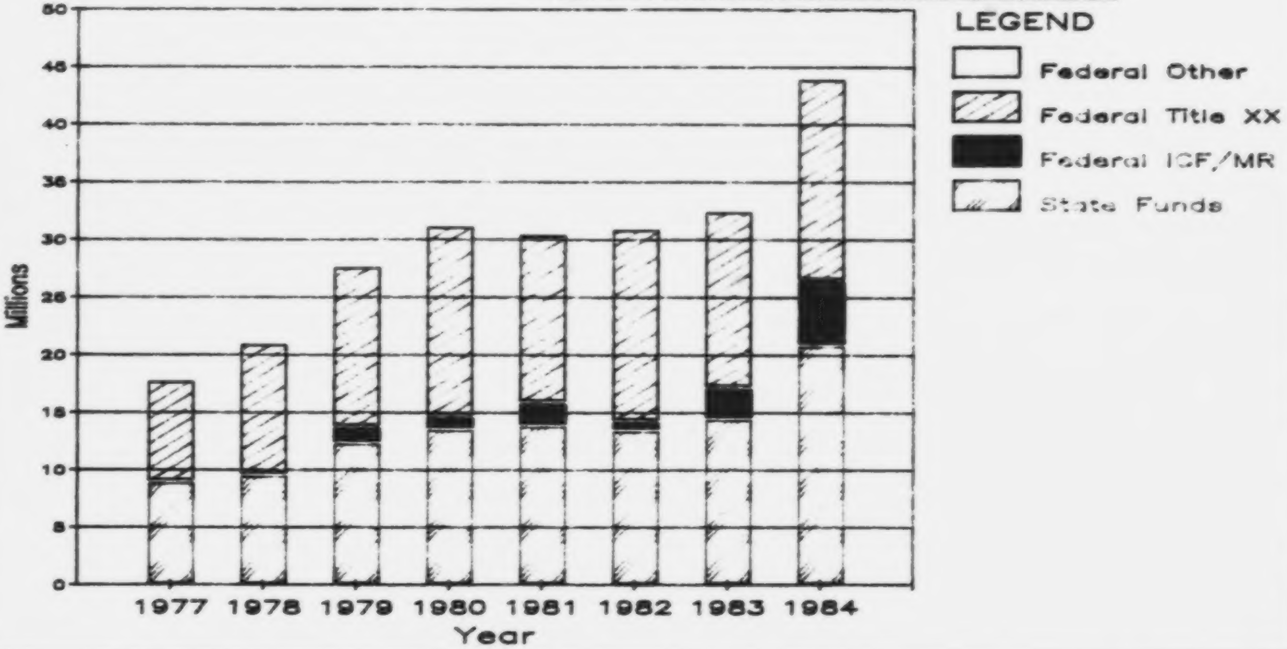
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



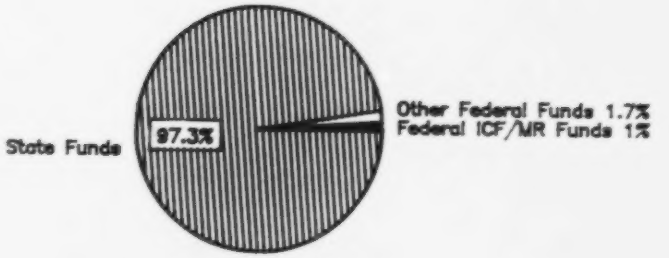
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



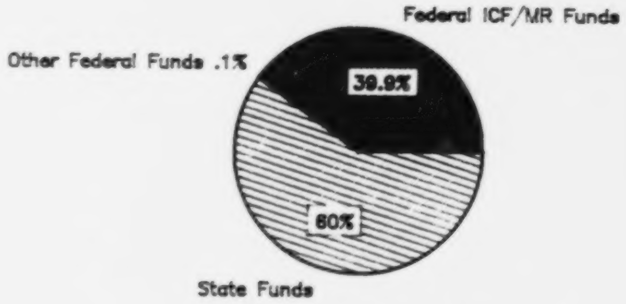
INDIANA

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

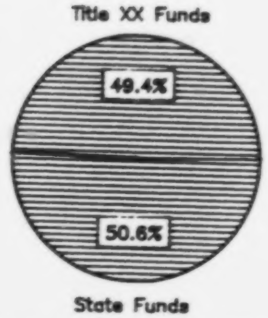
FY 1977 & 1984



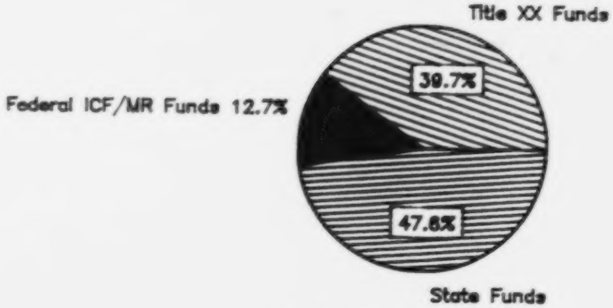
Institutional 1977: $40 Million



Institutional 1984: $52 Million



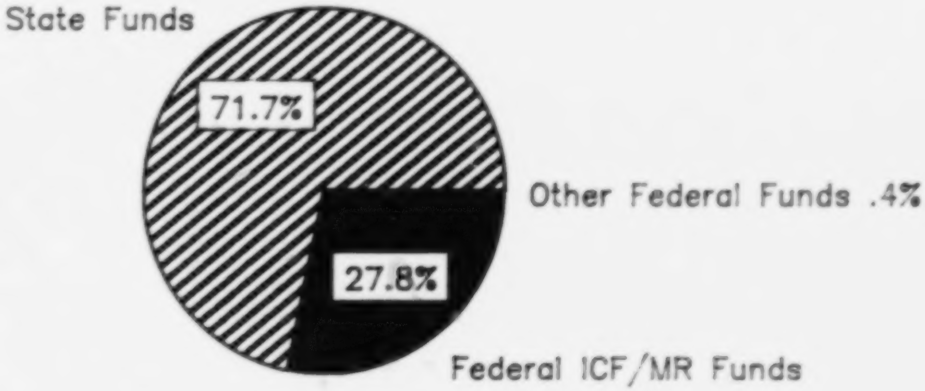
Community 1977: $18 Million



Community 1984: $44 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

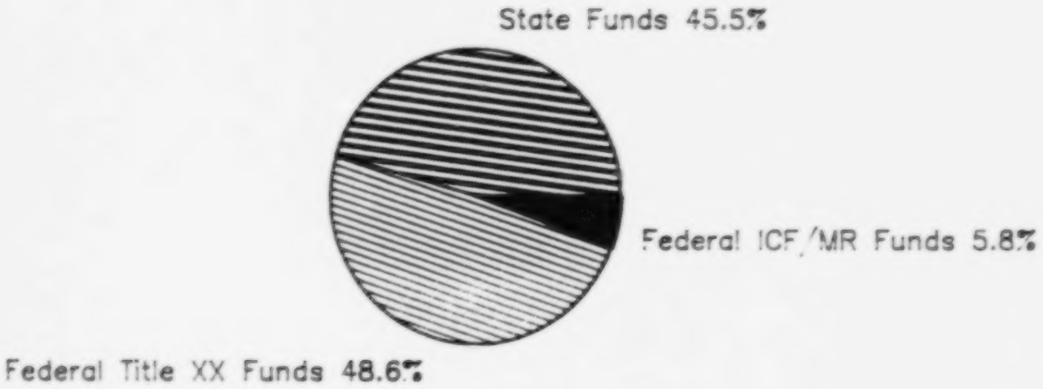
INDIANA
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $381 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



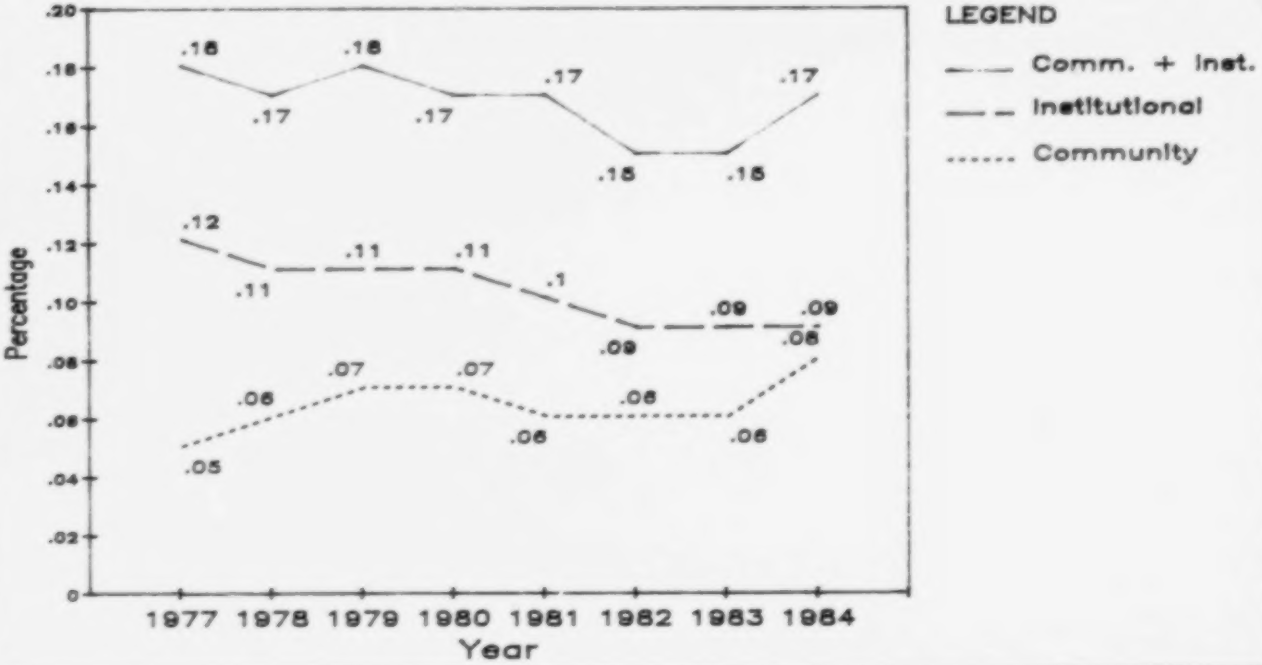
Total Community: $236 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

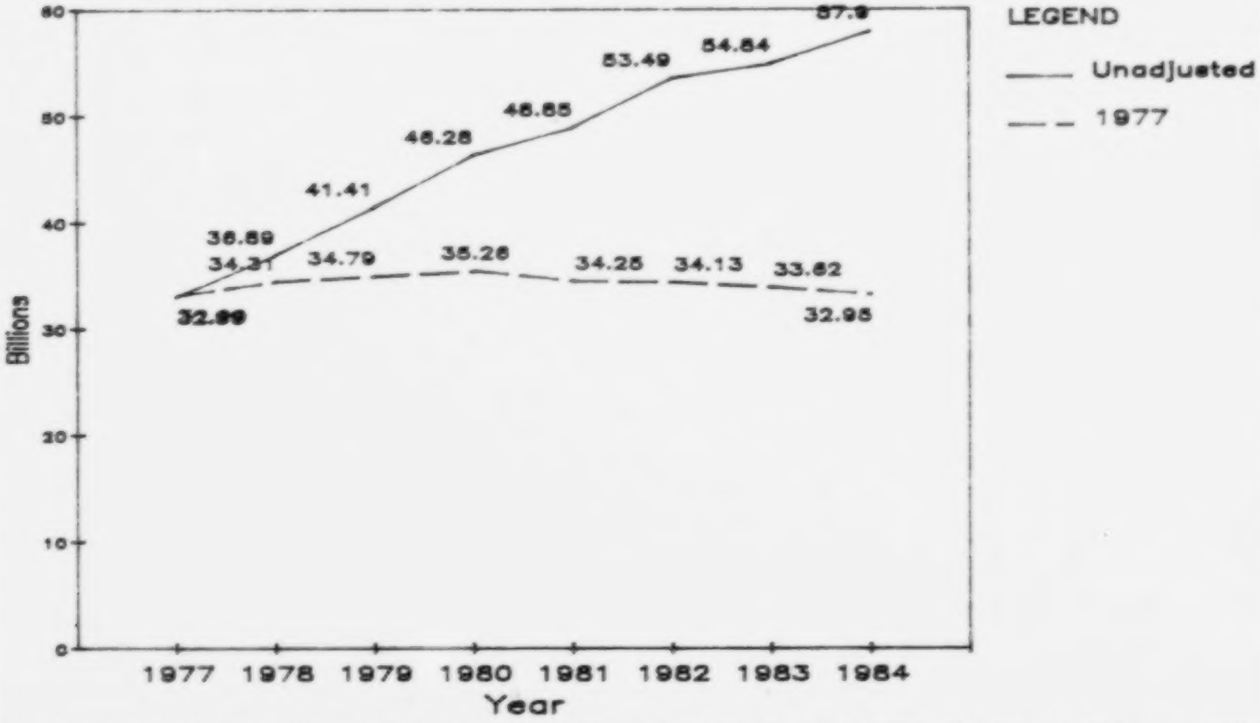
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

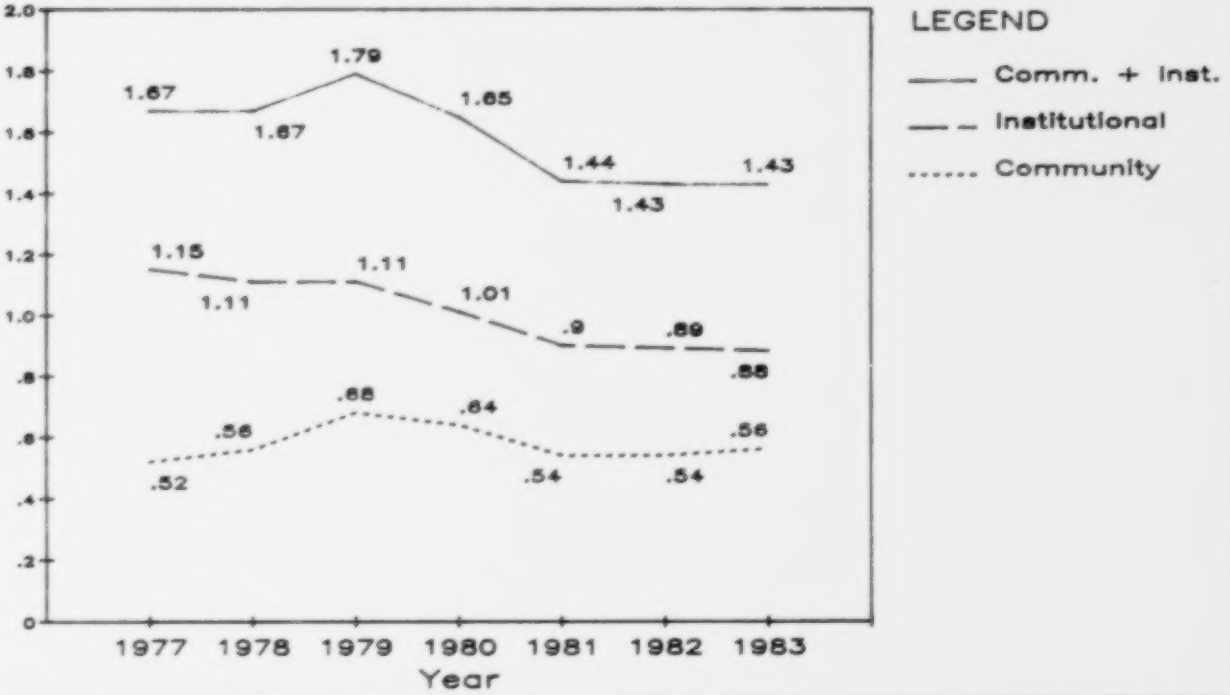
FY 1977–1984



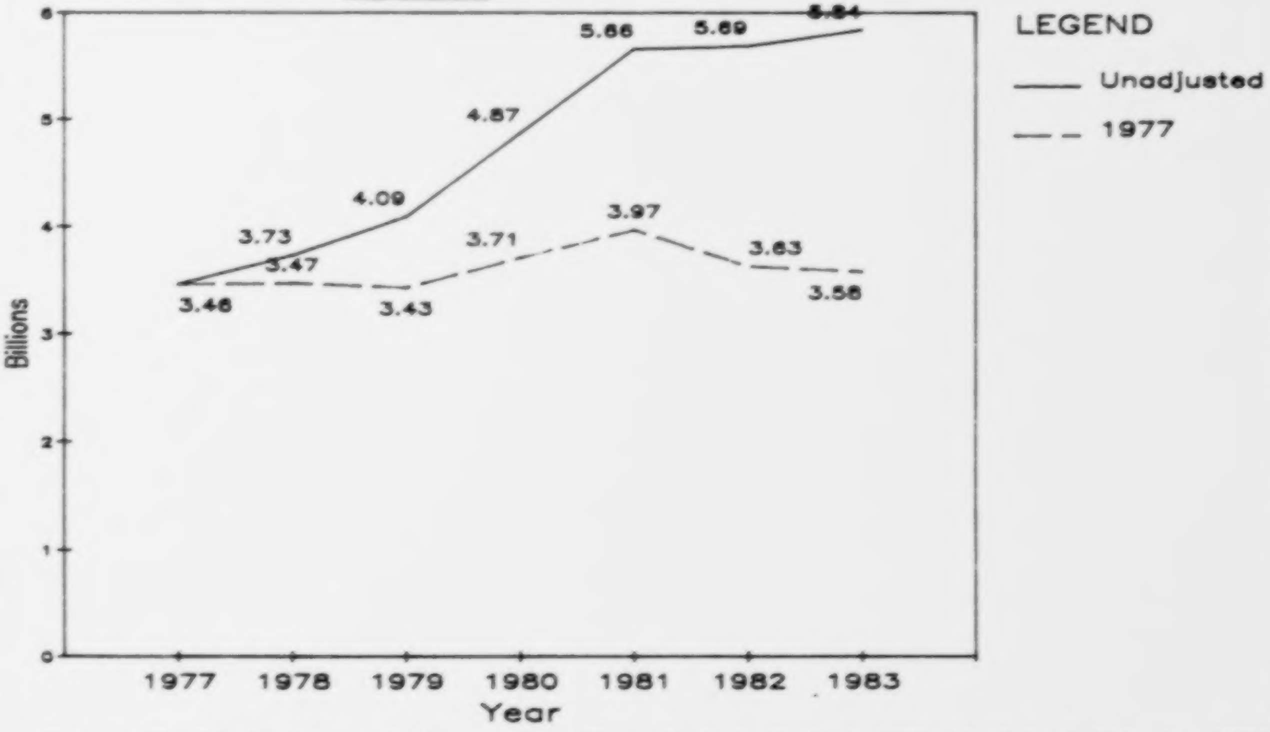
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

Relative Growth of MR/DD Expenditures for ***Institutional* & *Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



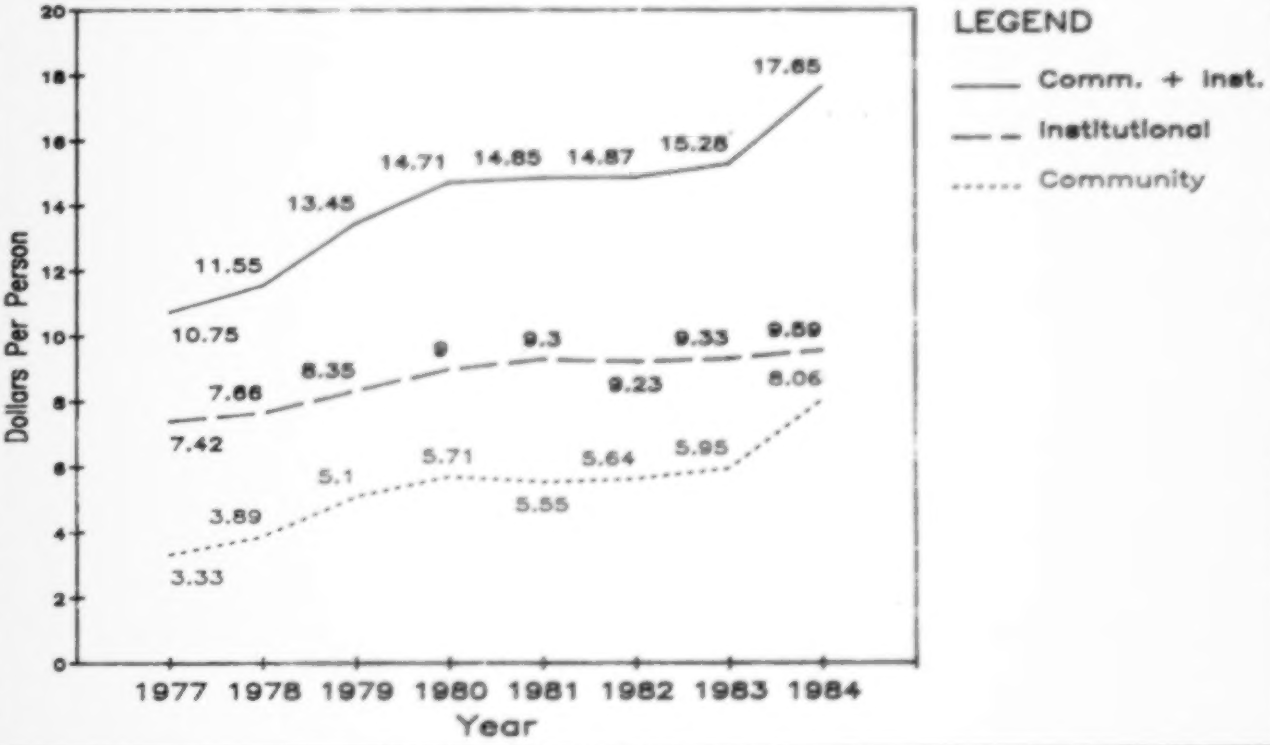
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1983



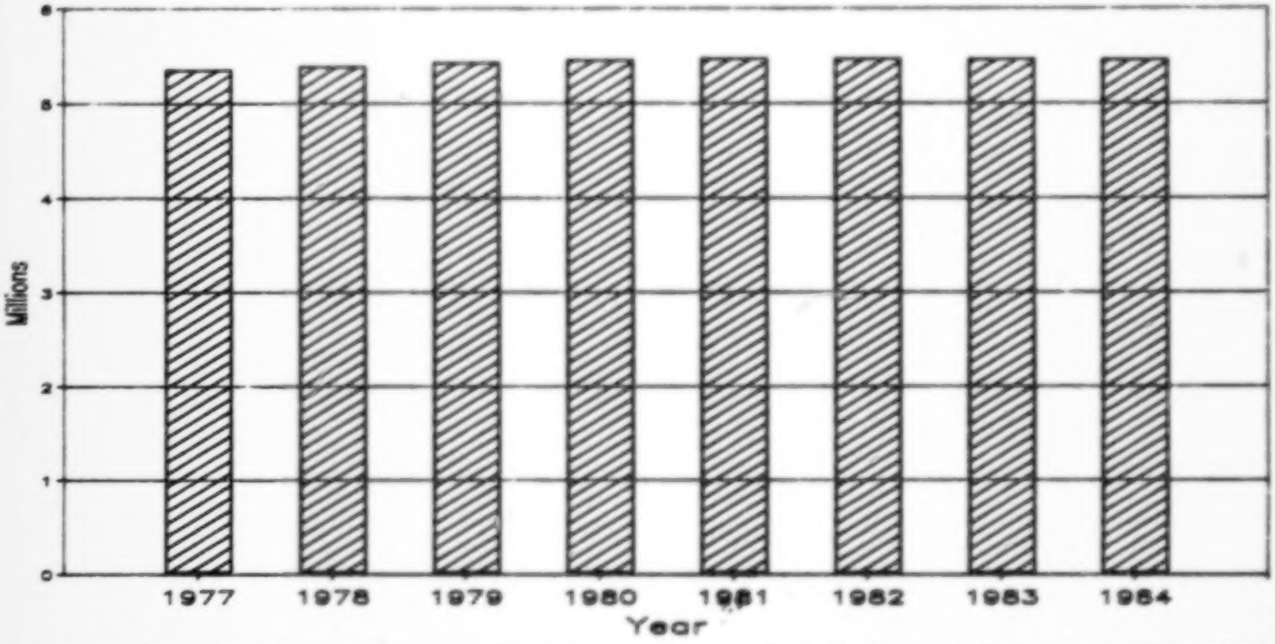
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



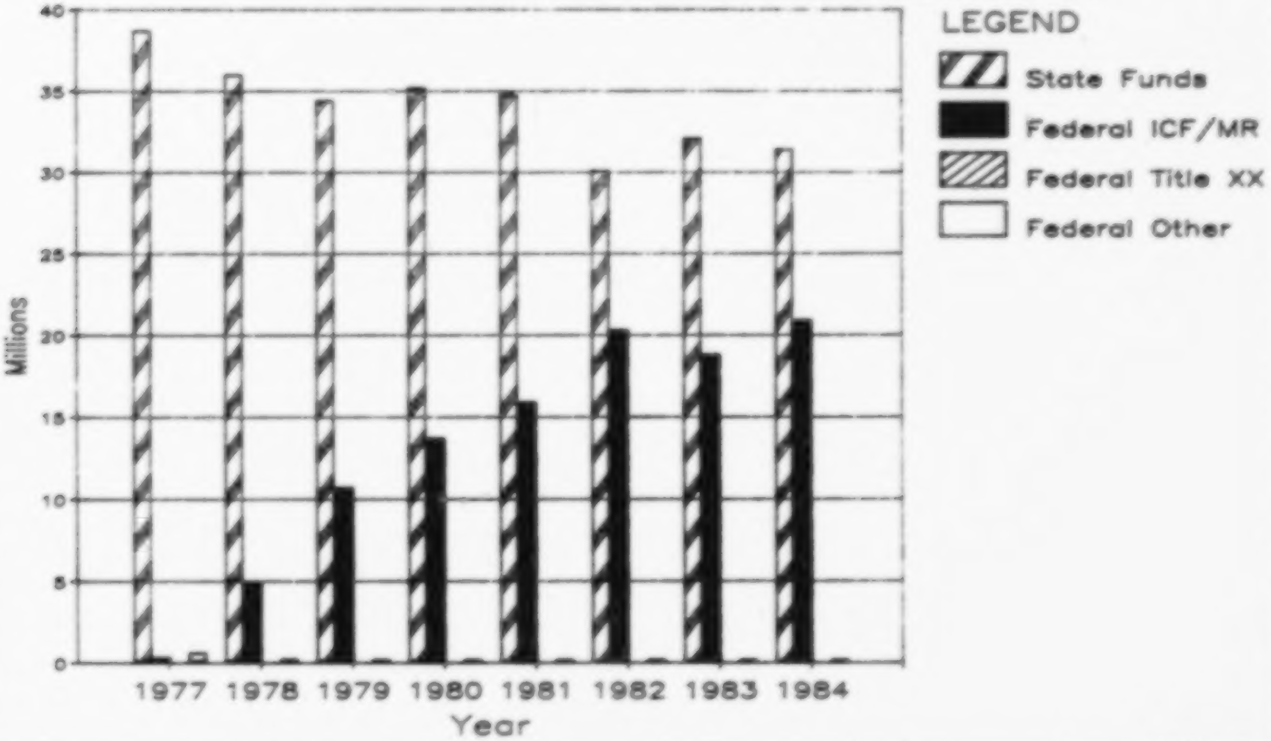
The Total State General Population FY 1977–1984



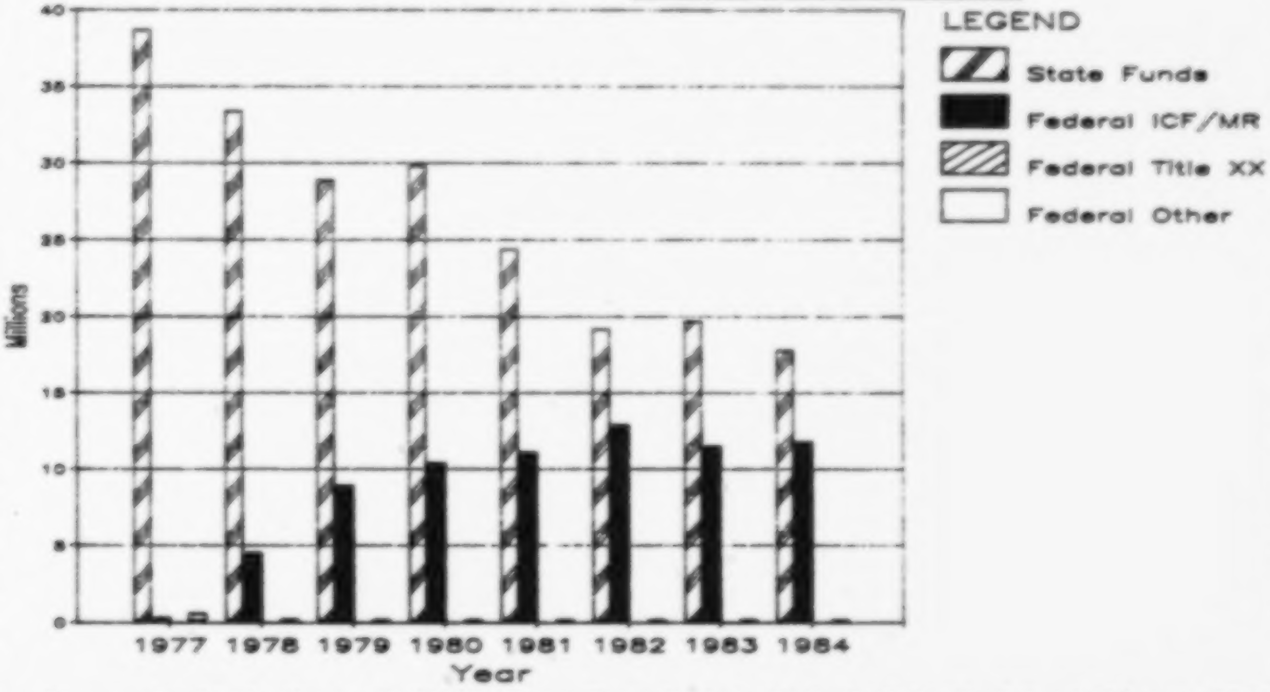
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

INDIANA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



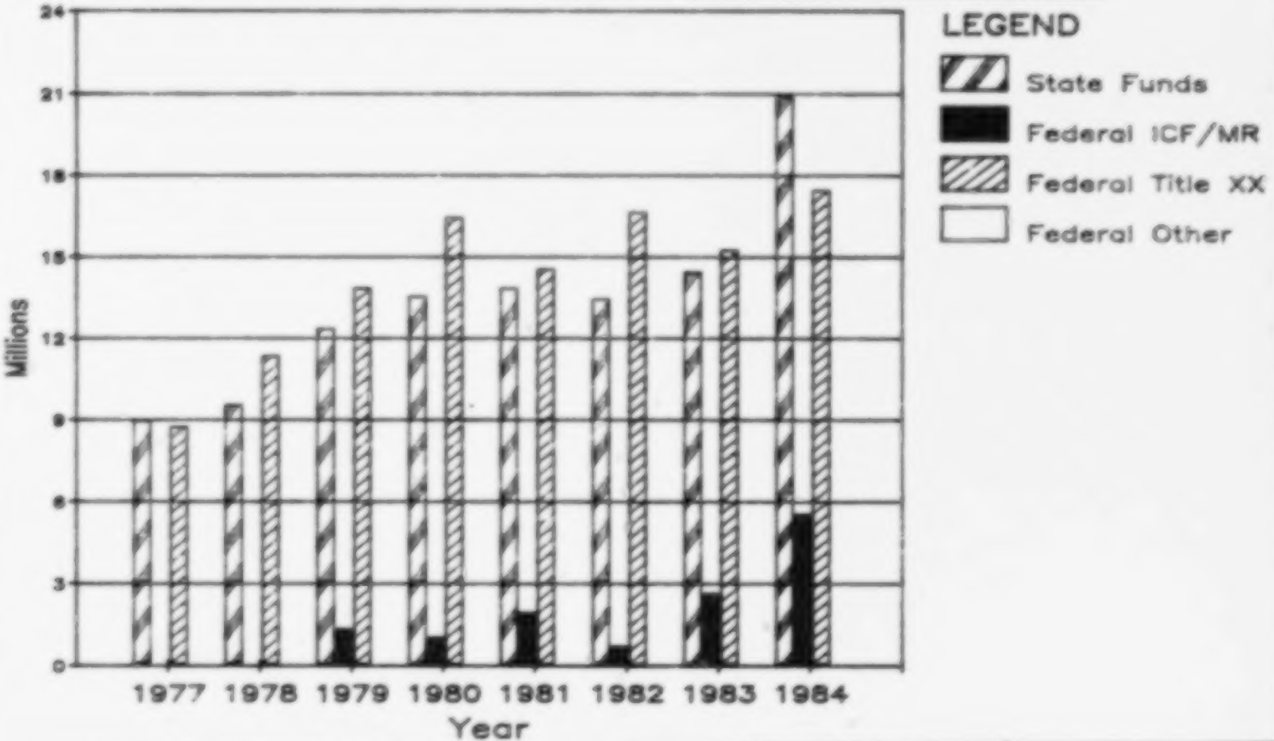
FY 1977–1984, *In 1977 Dollars*



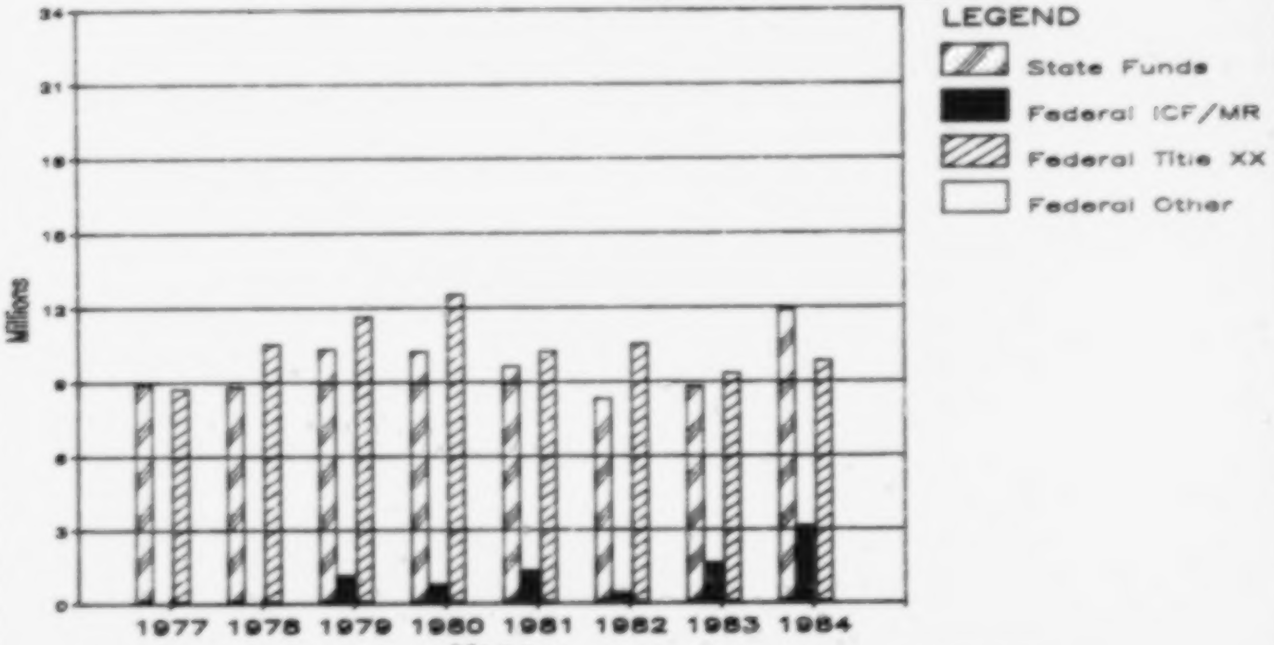
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



FY 1977–1984, ***In 1977 Dollars***



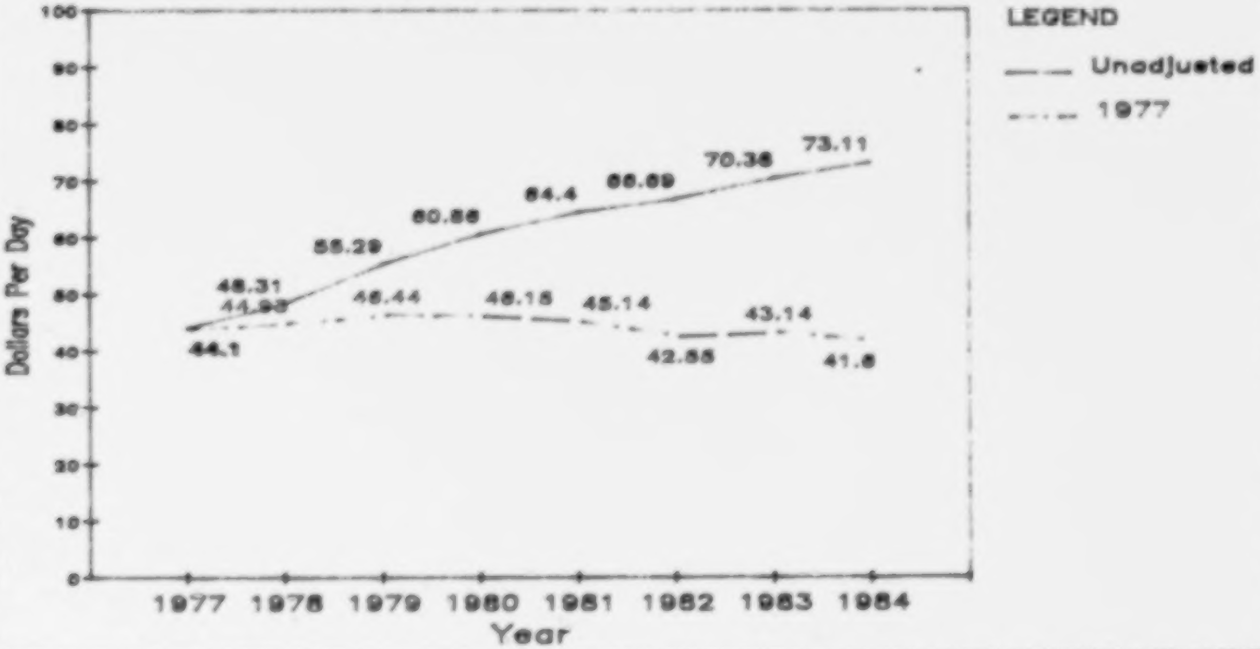
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

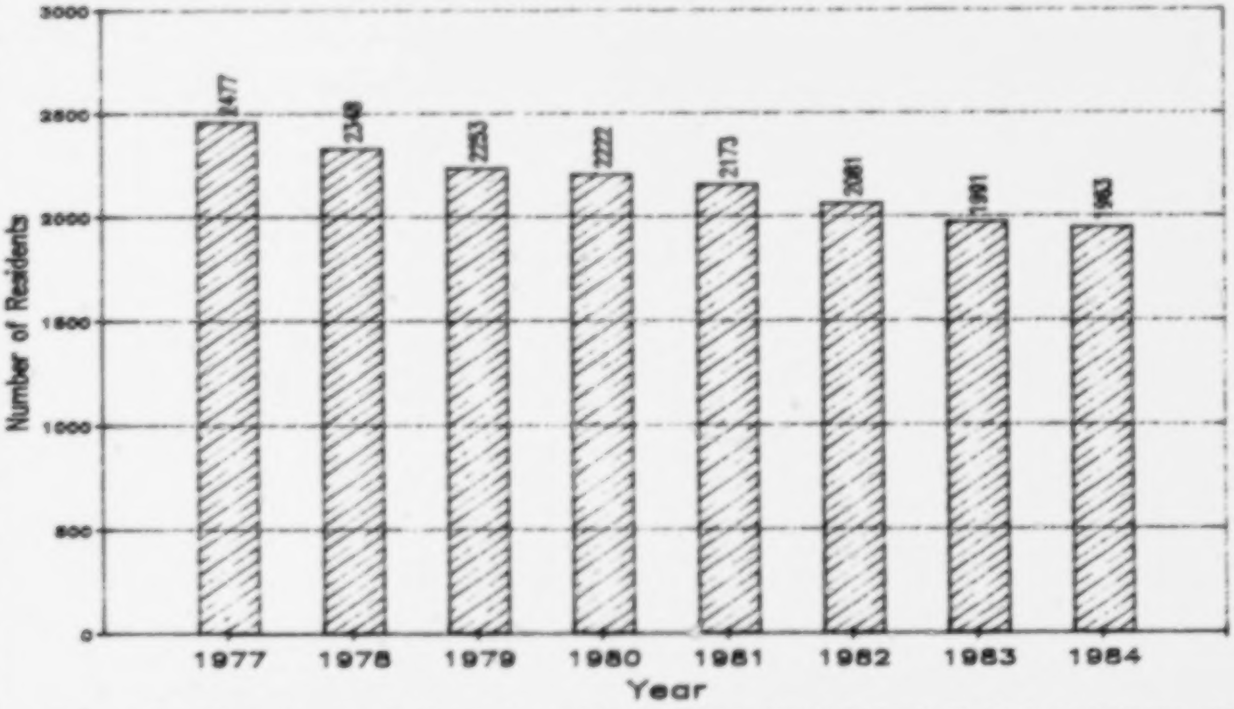
INDIANA

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

INDIANA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for mentally retarded and developmentally disabled people in Indiana are managed by the Department of Mental Health. The Developmental Disabilities Division (DD) manages community services funds and programs only.

2. Budget Format: The budget format for the Department of Mental Health (DMH) is:

   Department of Mental Health
      General Fund
      Federal Funds
      Dedicated Funds
   Division of Mental Retardation (Developmental Disabilities)
      [same fund sources]
   Institutions
      [same fund sources]
   Community MI Programs
      [same fund sources]
   Administration
      [same fund sources]

3. Note on Data Sources: "State of Indiana for the Biennium July 1....to June 30,....." budget documents for the FY `79-`81 and FY `83-`85 Biennia were reviewed. These provided "actual" expenditure figures in FY `77, `78, `81, and `82; "estimated" expenditures in FY `79 and `83; and "recommended" expenditures in FY `80 and `84.

   Although we initially assumed that the Division of MR funding represented entirely (or primarily) Community Services, it was not possible from inspection of the budget documents to determine the Title XIX, Title XX or other possible Federal Fund sources; nor was it possible to determine the inclusion or exclusion of private ICF/MR (Title XIX) facilities funding. Also, it was not possible to determine from the published budgets what portion of "Institutions" expenditures should apply to MR/DD individuals.

   Following our 9/15/83 phone contact with the Office of the Assistant Commissioner for MR/DD, we sent correspondence to Mr. John Malone, Administrative Assistant, DD Division. On 12/16/83, Mr. Malone provided (by telephone) Community and Institutional expenditure figures. Additional clarification was provided in a subsequent telephone discussion (12/22/83). Figures provided were "actual" for FY `77-`83, and "projected expenditure" for FY `84. The budget books had reported "dedicated funds," but all of the State figures reported by Malone were "General Fund." However, in the budget books, there were no "dedicated funds," indicated for the Division of MR, and less than $500.00/year was indicated in "Institutions," except in FY `78 ($10,140,000); in FY `79 ($15,272,000) and in FY `80 ($20,507,000). See Note 6 below for additional clarification.

II. INSTITUTIONAL SERVICES

4. Institutional Services. This line consists of the expenditures for Muscatatuck, Ft. Wayne, New Castle and Northern Indiana State Hospital and Training Centers.

   The aggregated end of fiscal year population figures for these Centers are:

FY 1977 - 2,477
FY 1978 - 2,348
FY 1979 - 2,253
FY 1980 - 2,222
FY 1981 - 2,173
FY 1982 - 2,081
FY 1983 - 1,991
FY 1984 - 1,963

Source: Malone, telephone interview, 5/10/84

5. Other State Funds consists of a line reported in the budget books as "Farm Revenue". FY `81 is interpolated from FY 1980 and `82 data.

6. Title XIX. The figures reported in the budgets for FY `78-`80 as "dedicated funds" were in large part, Title XIX Federal Revenue. Figures in this analysis are those provided by Malone (telephone interview, 12/16/83 and 12/22/83).

7. Other Federal Funds. These are reported in the Budget books as ESEA Title I; DD Grants; Albuin Drug Study (`77-`80 only); EFI program; Ginsburg Unit and Alcohol Action Grant for the MR/DD State Hospital Training Centers. FY `81 figures are interpolated and the FY `84 figure is estimated by the study to be at the FY 1983 level.

III. COMMUNITY SERVICES

8. Community Services. This line consists of state funding for a range of community programs, including:

    Epilepsy Clinic
    MR Center - Day Programs
    Diagnosis and Evaluation
    Epilepsy Program
    Residential Services
    Family Subsidy
    Residential Services - Case Management
    Protection and Advocacy Commission
    DD Services Grants

    The budget books indicated an increase in the Division of MR from $4.5 million in FY `80 to $10 million in FY `81. A total of 9,999 community clients are registered on the Division's printouts for December, 1983 (Malone, phone interview, 12/22/83), with approximately 6,000 receiving day programs and 4,000 receiving other DMH-funded services. As of the week ending December 9, 1983, there were 143 Community Residential Facilities for the Developmentally Disabled (CRF/DD), with a total of 830 beds. These beds are counted within the 9,999 figure, but the funding for these facilities is primarily Private ICF/MR (Title XIX) (see Note 12 below). However, DMH provides initial start-up funding for CRF/DD's, and also provides funding for those clients who are not eligible for Title XIX (Medicaid). Malone (12/16/83) estimated these start-up and non-Medicaid client CRF/DD costs at $3,900,000 in FY `84 and $3,000,000 in FY `83 (the first year of the program). These funds are considered State General Funds for Community Services in our analysis.

9. Other State Funds consists of the State Match for Title XX (SSBG) Federal funds (see Note 11 below).

10. Title XIX. Indiana has not yet submitted an application for reimbursement under the Title XIX Community Care Waiver (Malone, 10/17/83).

10. Title XX. Malone (12/22/83) indicated that there are 62 agencies providing Title XX-reimbursed services for MR/DD Individuals. The Indiana Legislature appropriates the State match for Title XX to the Indiana Social Service Fiscal Office. Indiana is state-matching Social Service Block Grant funds as previously required. Title XX DD dollars reported in this analysis are 75% of the figures originally reported (12/16/83) by Malone. The 25% state match has been carried as Other State Funds (see Note 9 above). Figures for FY `77 and `78 have been imputed based on the actual program growth rate between FY `79 and `80.

12. Private ICF/MR. These figures are calculated using HCFA Title XIX totals for Indiana (and match ratios) and subtracting Institutional Services Title XIX funds to arrive at the remaining Private ICF/MR. Indiana initiated, in FY `83, new rate-setting criteria for Community

Residential Facilities for the DD, which are small (4-8 beds) private ICF/MR programs. As of 12/9/83, there were 143 facilities with 830 beds (see Note 8 above), and the following expenditures for the CRF/DD's (are included within the total Private ICF/MR figures of the analysis):

CRF/DD Expenditures
(dollars in thousands)

	FY `83	FY `84
Total	$3,389.3	$4,584.7
Federal	1,922.7	2,747.6
State	1,466.6	1,837.1

Note: The average per diem reimbursement rate in the CRF/DD program is $32, of which clients pay approximately 20%. Dividing the FY `84 CRF/DD figure of $4,584,700 above by 830 beds, and by 365 days produces a much smaller per diem because (A) actual bed days in FY `84 are significantly less due to phase-in; (B) significant costs are covered within the DMH Community expenditures, representing start-up cost prior to, or in lieu of, Title XIX reimbursement.

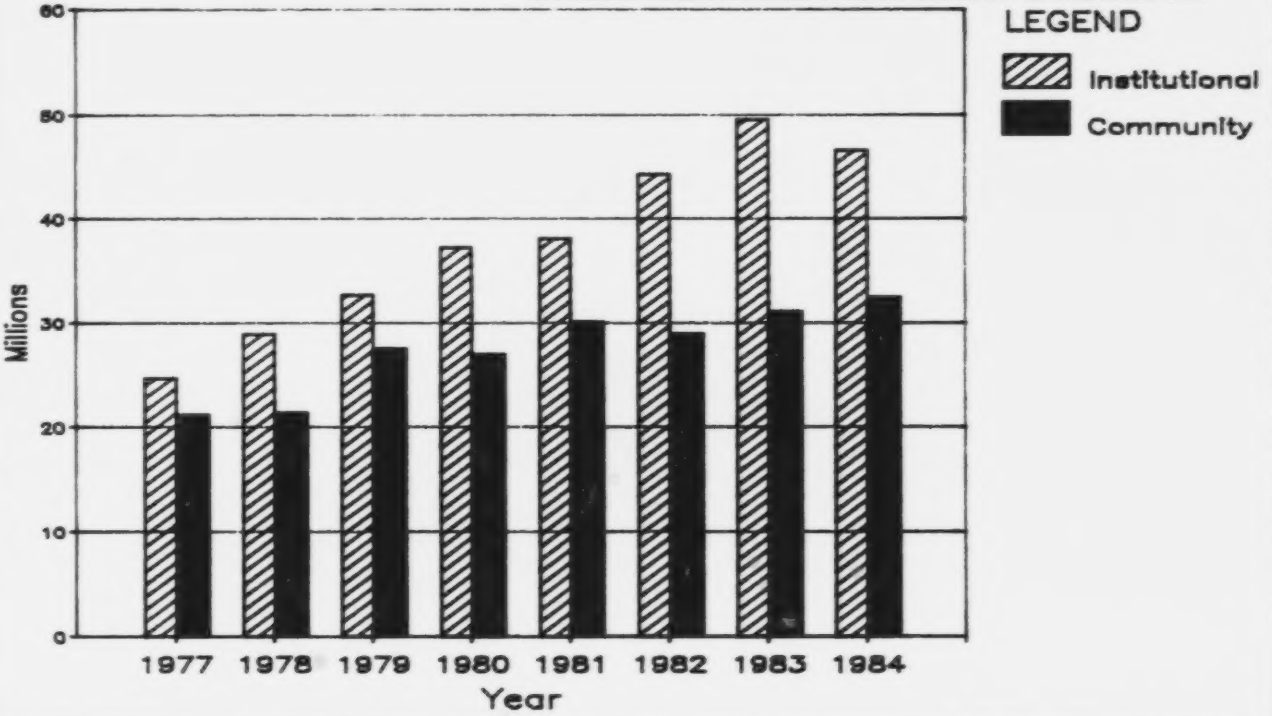
In addition to the CRF/DD's there are three larger facilities. Two different licensure systems are utilized; the Health Facilities Council licenses the larger ICF/MR's, while the CRF/DD's are licensed by DMH's Community Residential Facilities Council. The state match for the CRF/DD and larger ICF/MR programs is provided by the State Department of Welfare, and this match has been included with the Community Services State Funds portion of the analysis (the federal share is included with Community Services Title XIX).

13. In Indiana, a number of MR/DD individuals are served in non-ICF/MR nursing homes. These are facilities reimbursed with Medicaid (Title XIX) through the Indiana Department of Public Welfare, and the facilities usually have a "comprehensive" license to provide both Intermediate and Skilled care. Estimates by the Department of Public Welfare and from facility self-reports tend to indicate that, during the eight year period of this analysis, approximately 3,000 to 4,000 individuals have resided in non-ICF/MR nursing homes. (Telephone interview, Marcia Bryan, Director, Residential Services Division, Department of Mental Health, 12/3/84.)

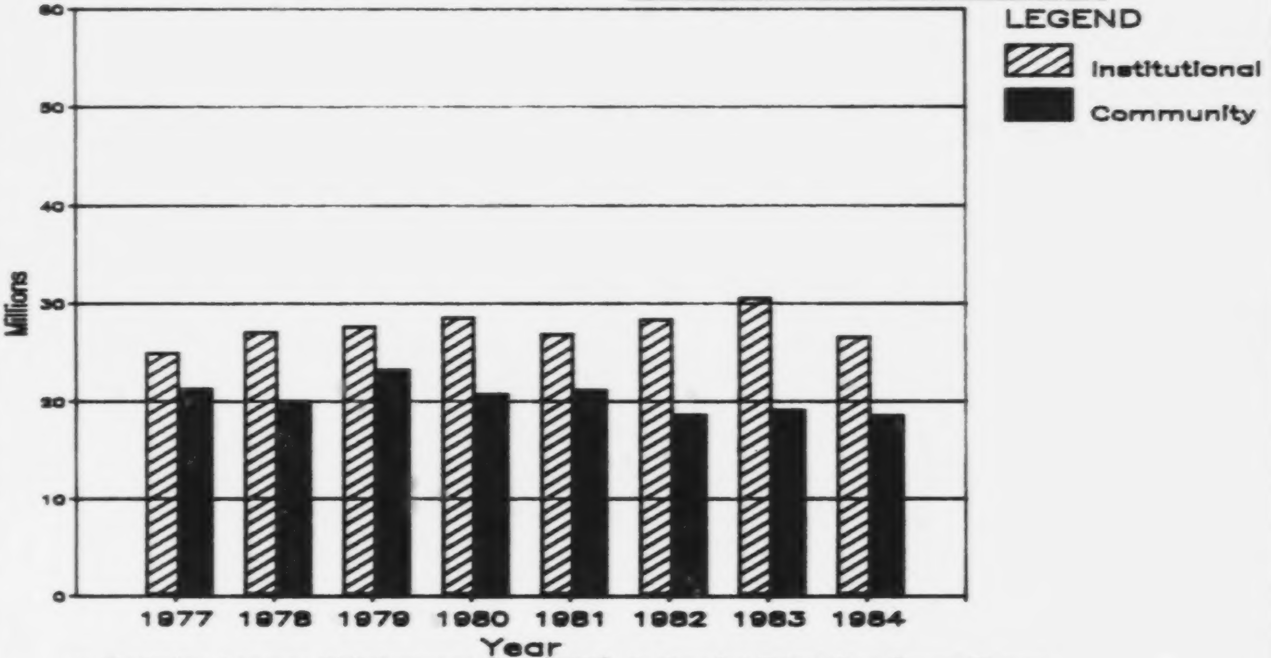
IOWA

STATE PROFILE

IOWA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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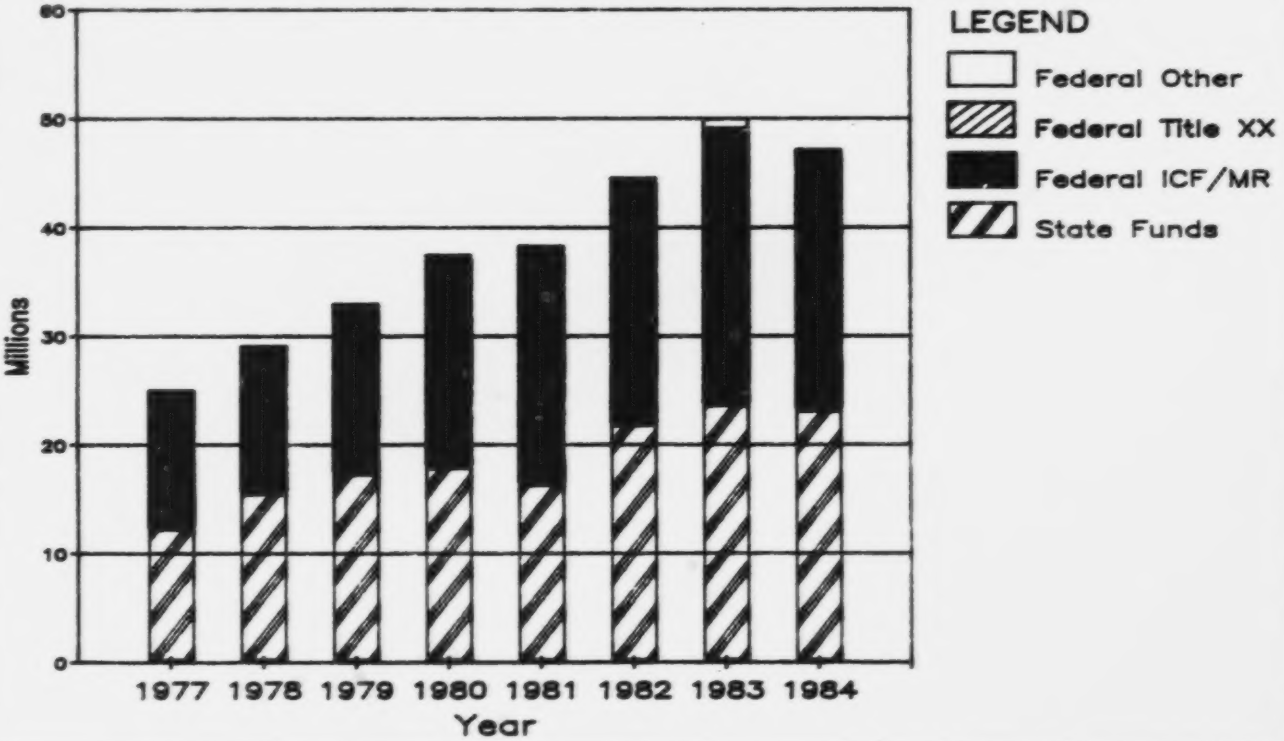
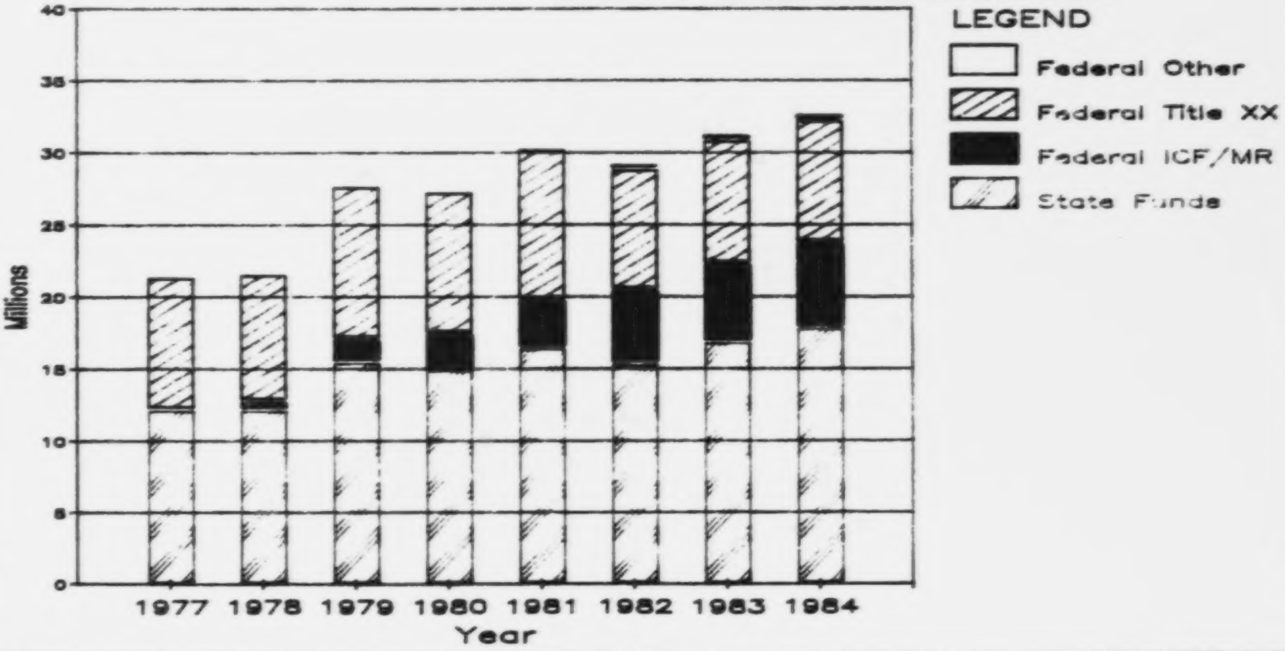
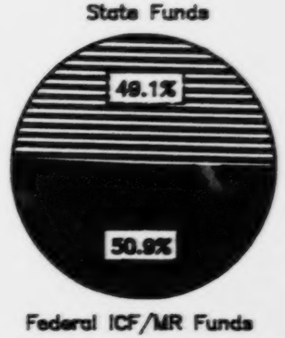


MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***

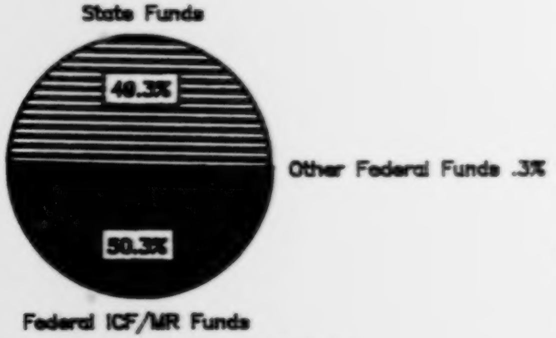


MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***

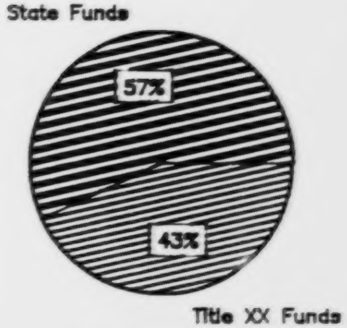
IOWA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



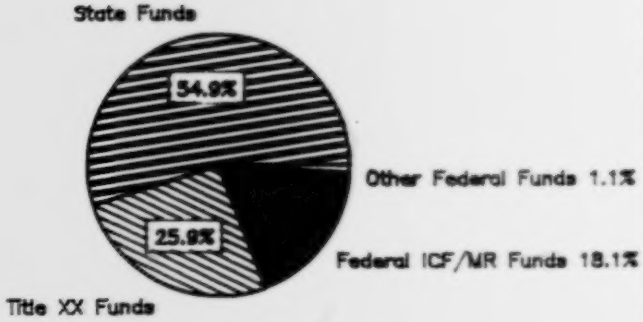
Institutional: 1977 Total Funds—$25.1 Million



Institutional: 1984 Total Funds—$47.0 Million



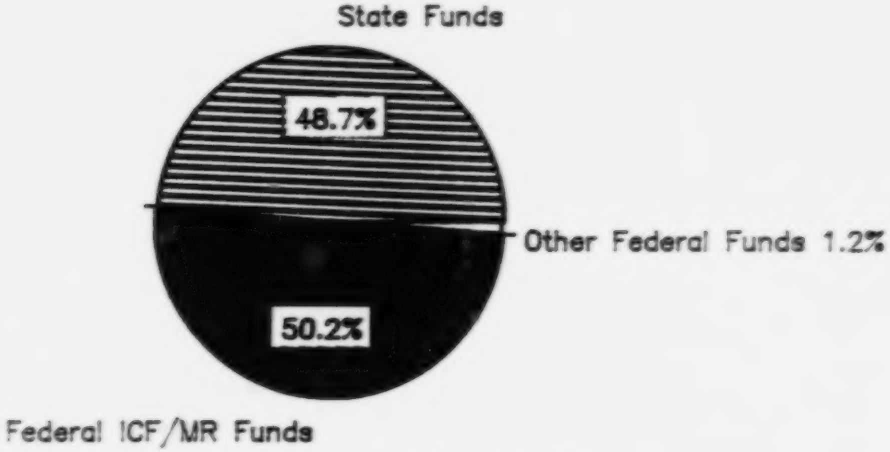
Community: 1977 Total Funds—$21.4 Million



Community: 1984 Total Funds—$32.7 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

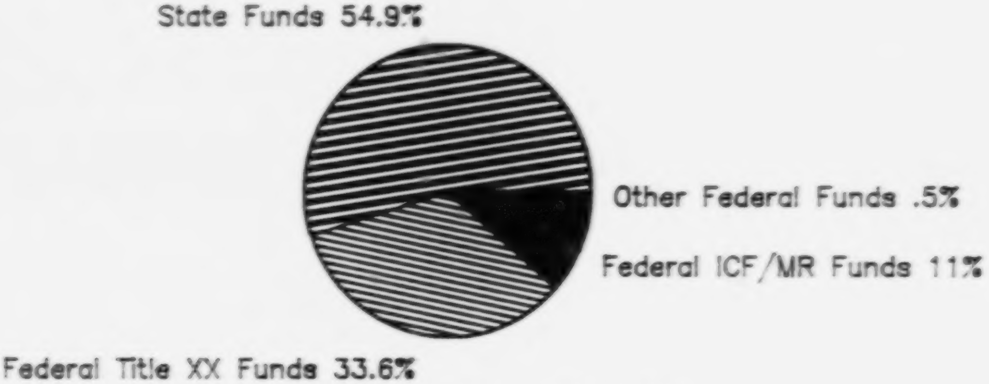
IOWA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: **$305** Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

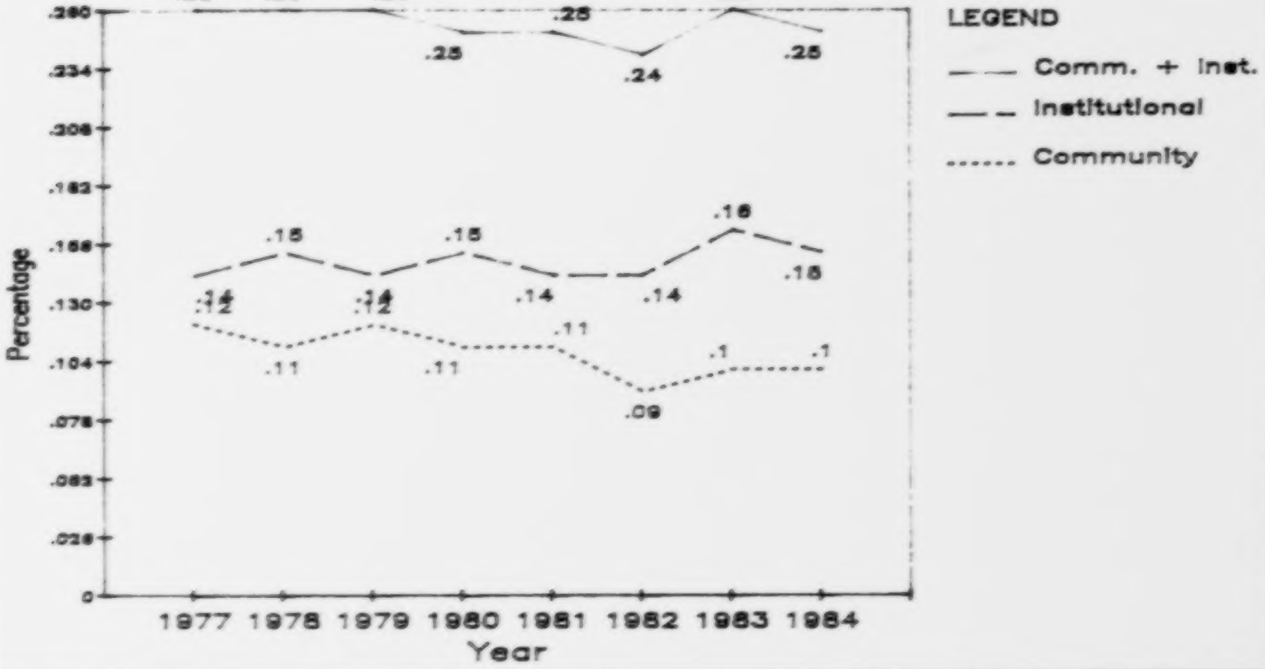


Total Community Dollars: **$221** Million

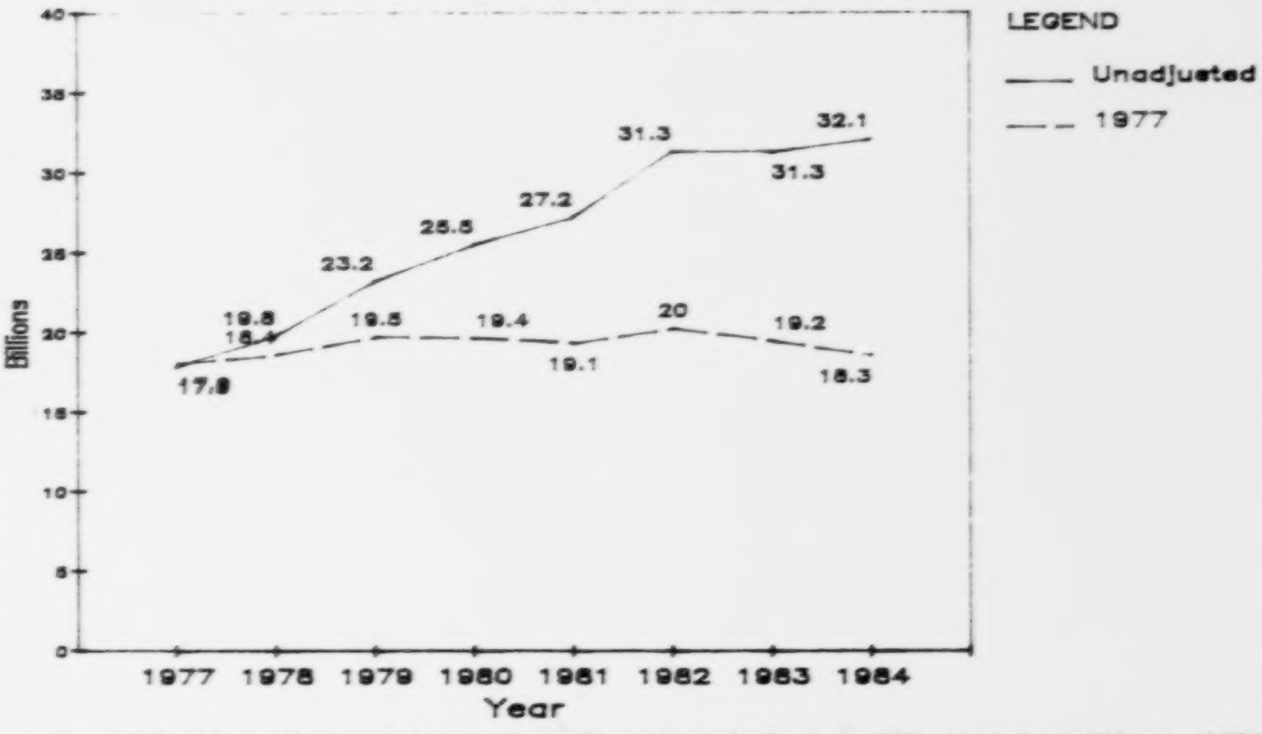
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IOWA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



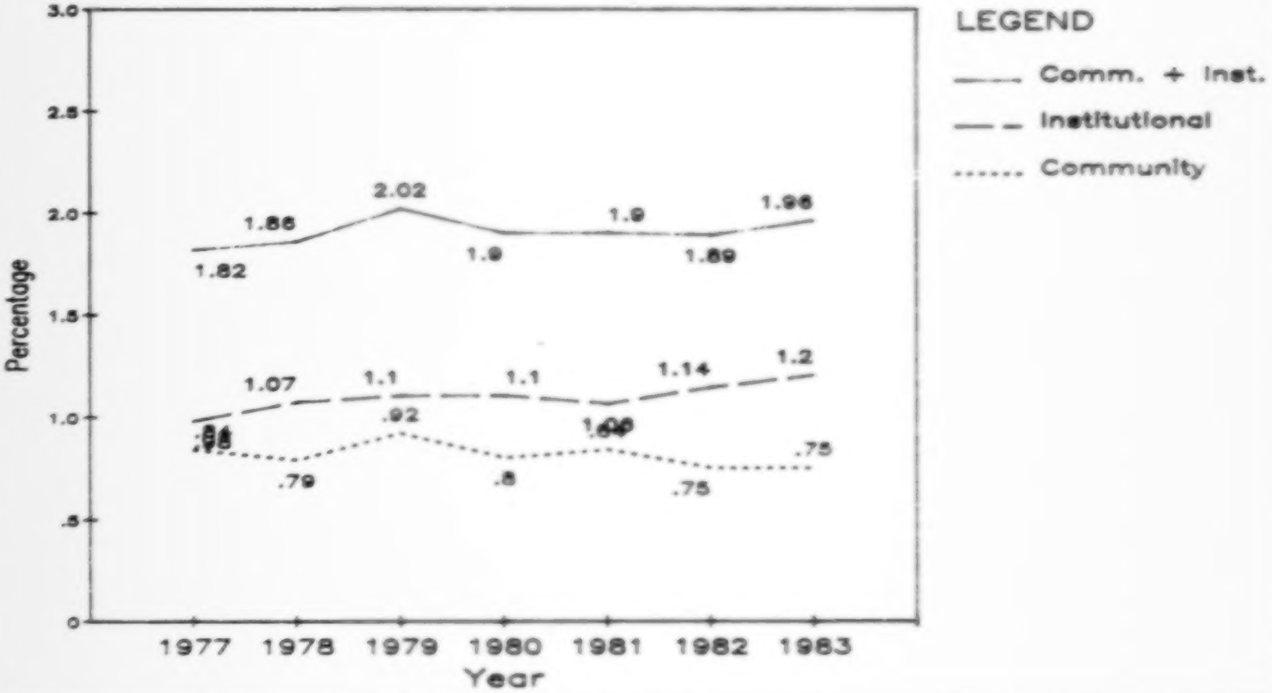
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



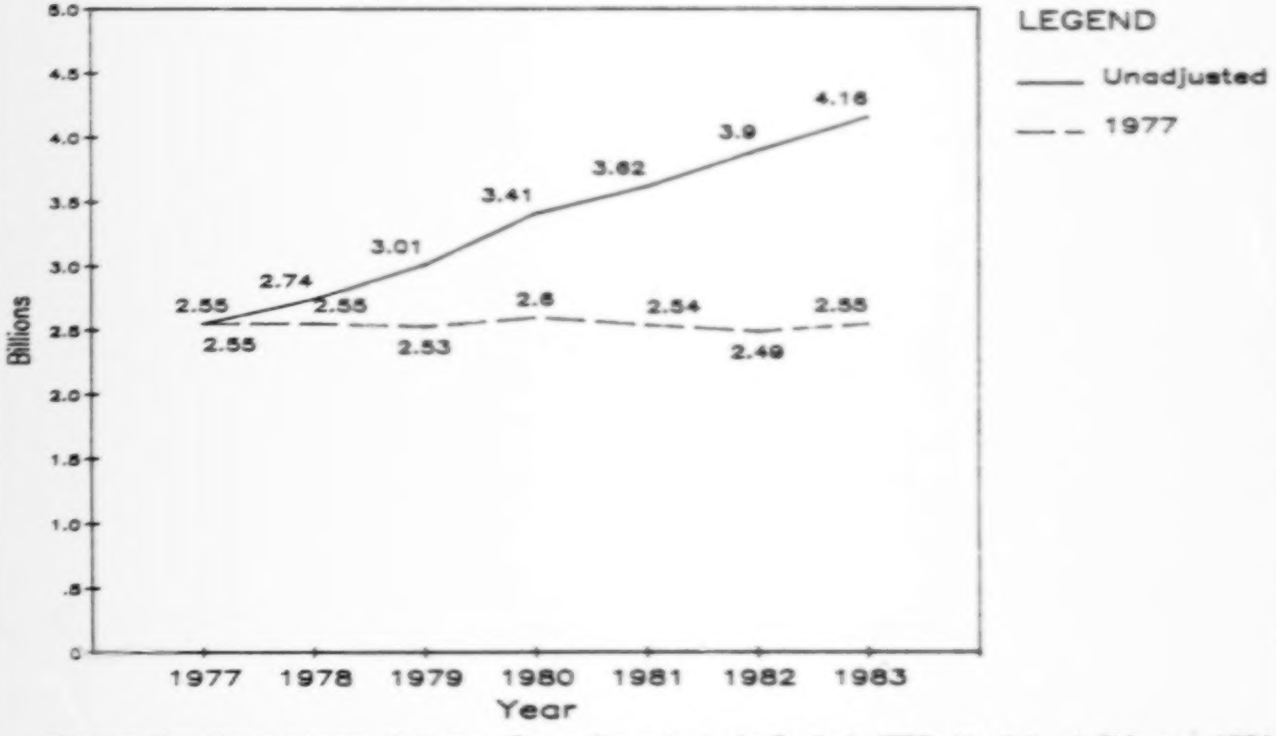
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IOWA

Relative Growth of MR/DD Expenditures for *Institutional & Community* Services as a Percentage of the Total State Budget: FY 1977–1983



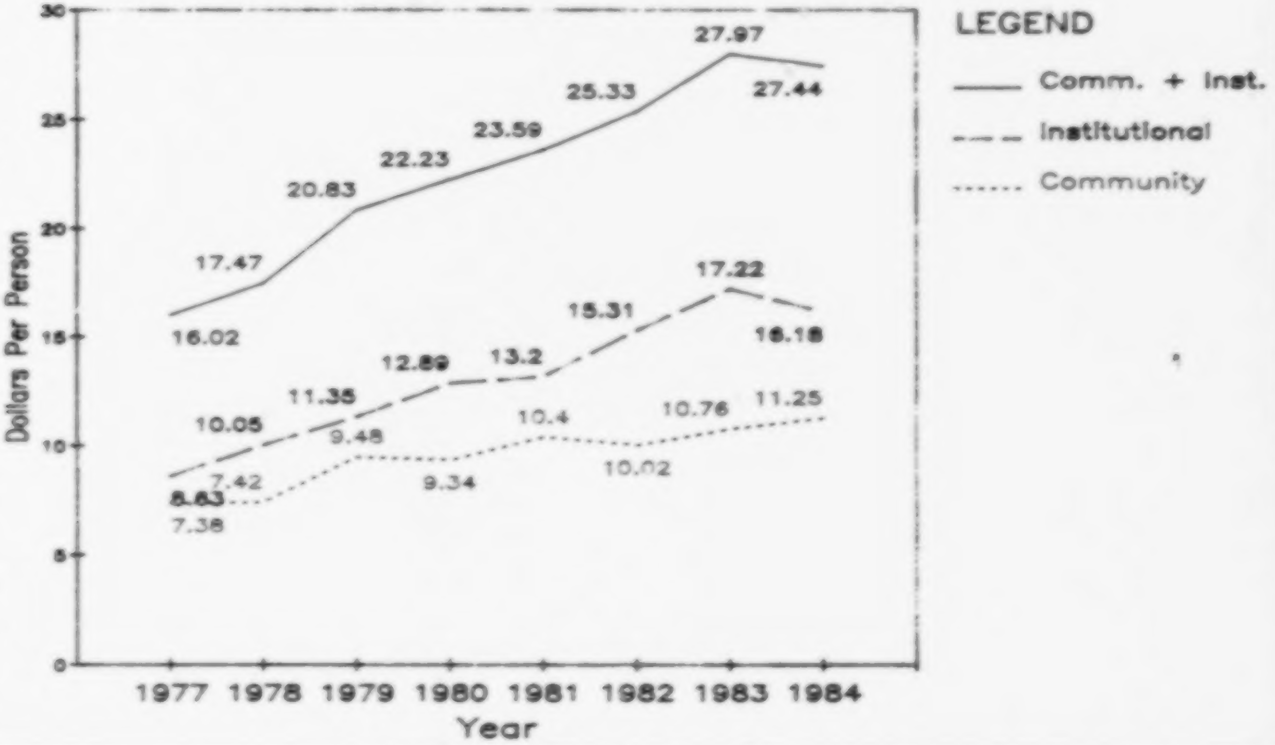
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



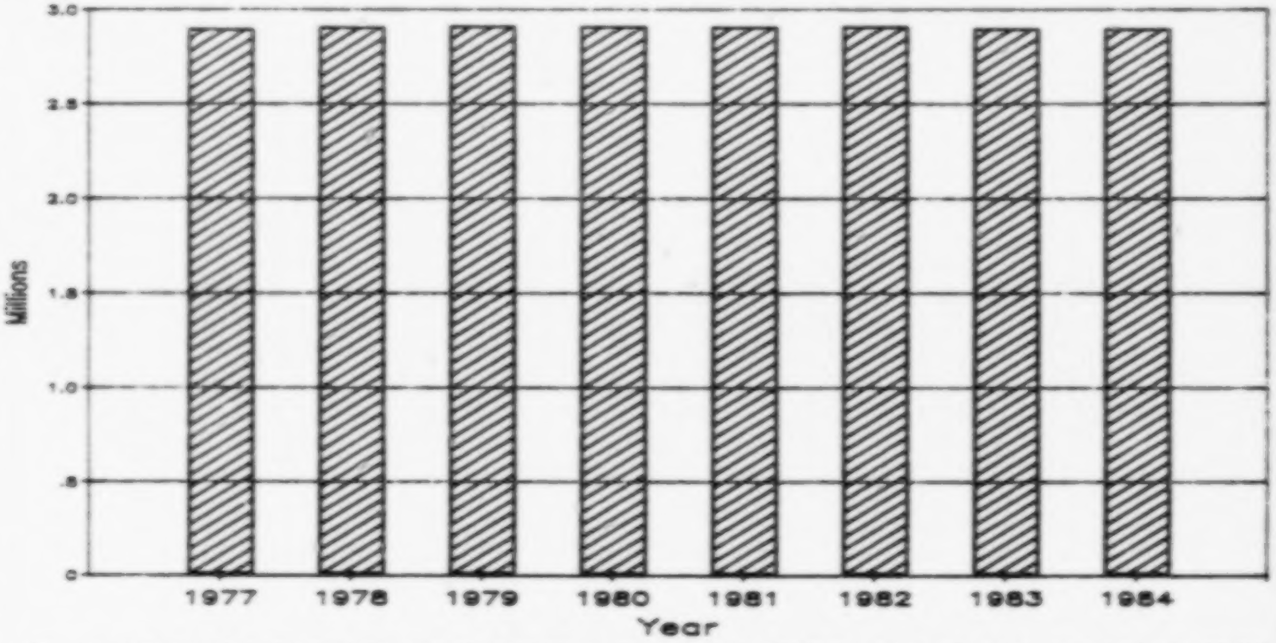
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IOWA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

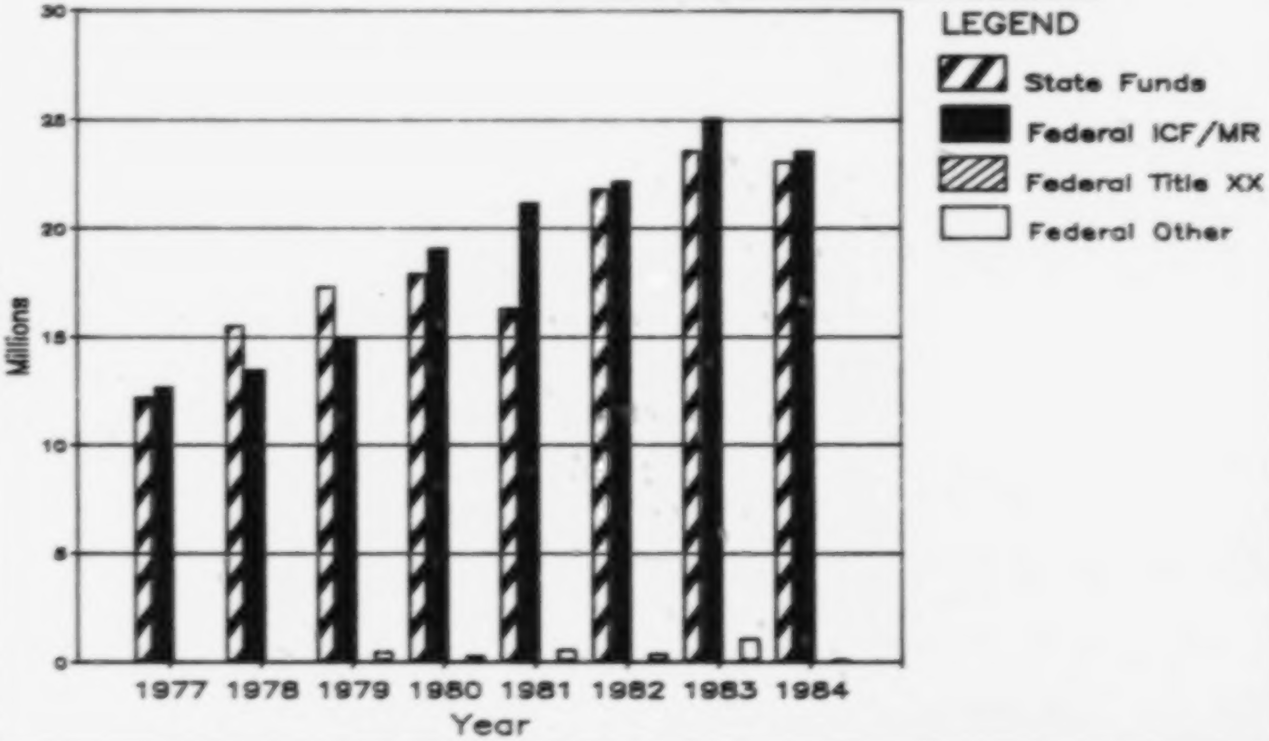


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

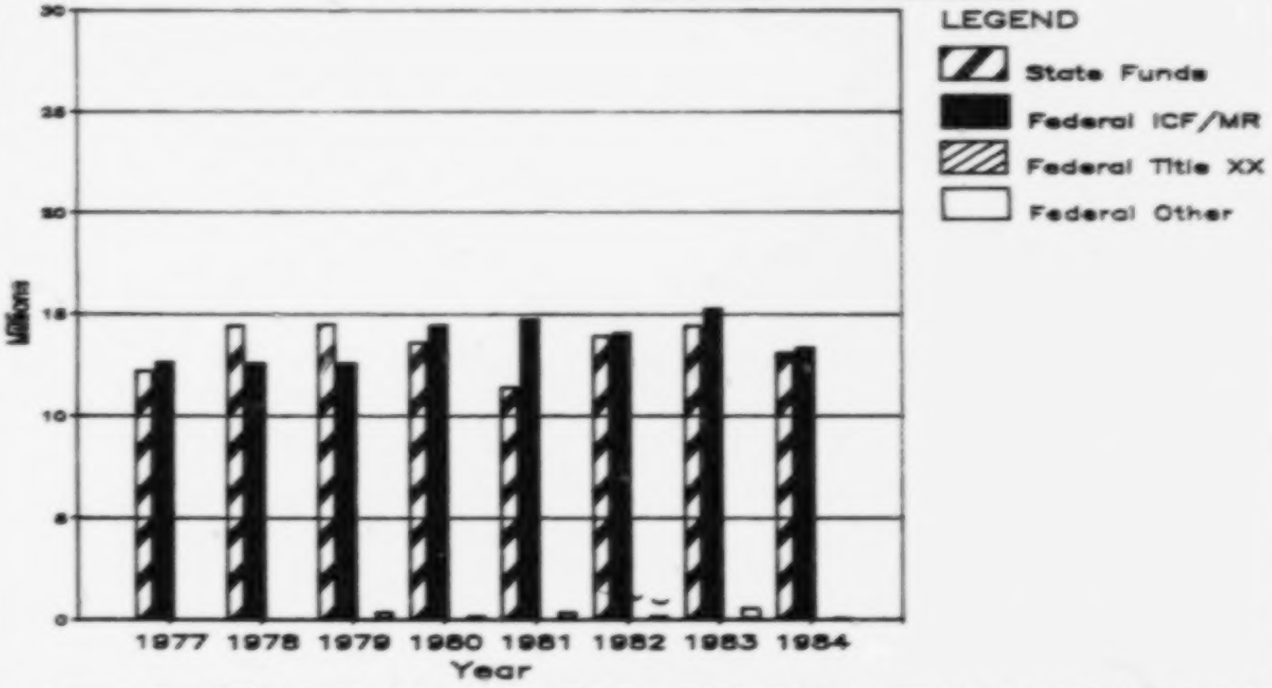
IOWA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

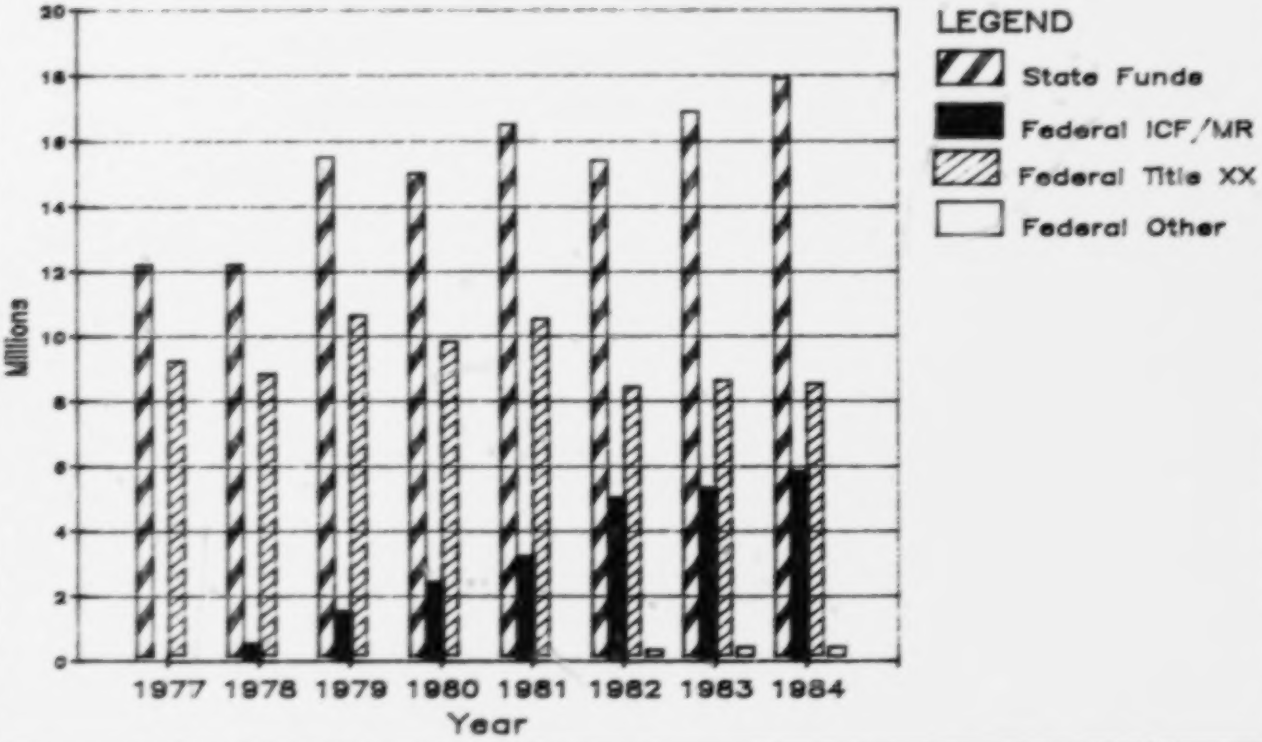


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

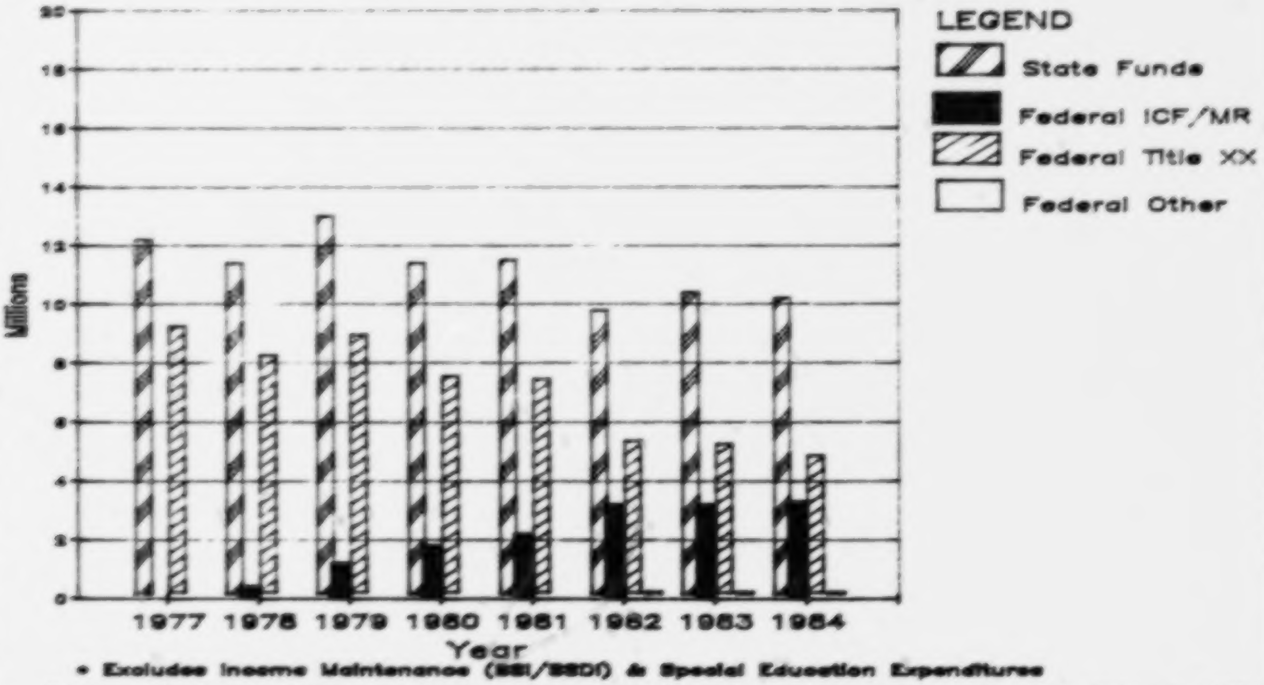
IOWA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



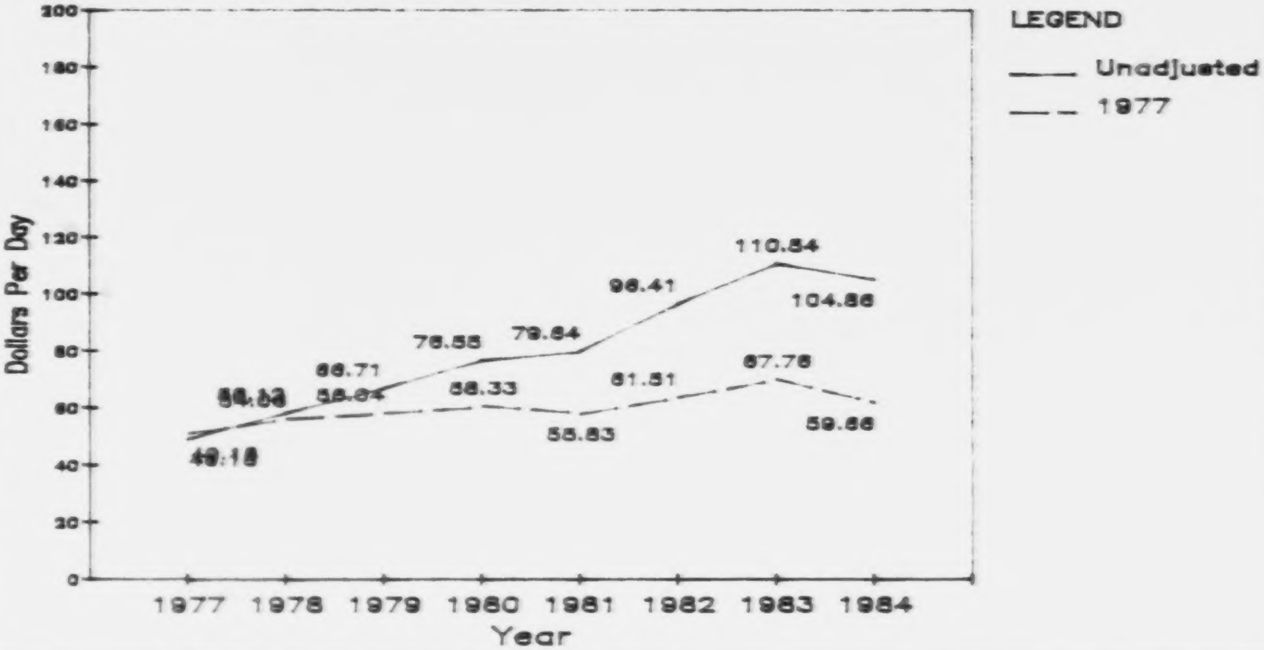
FY 1977–1984, *In 1977 Dollars*



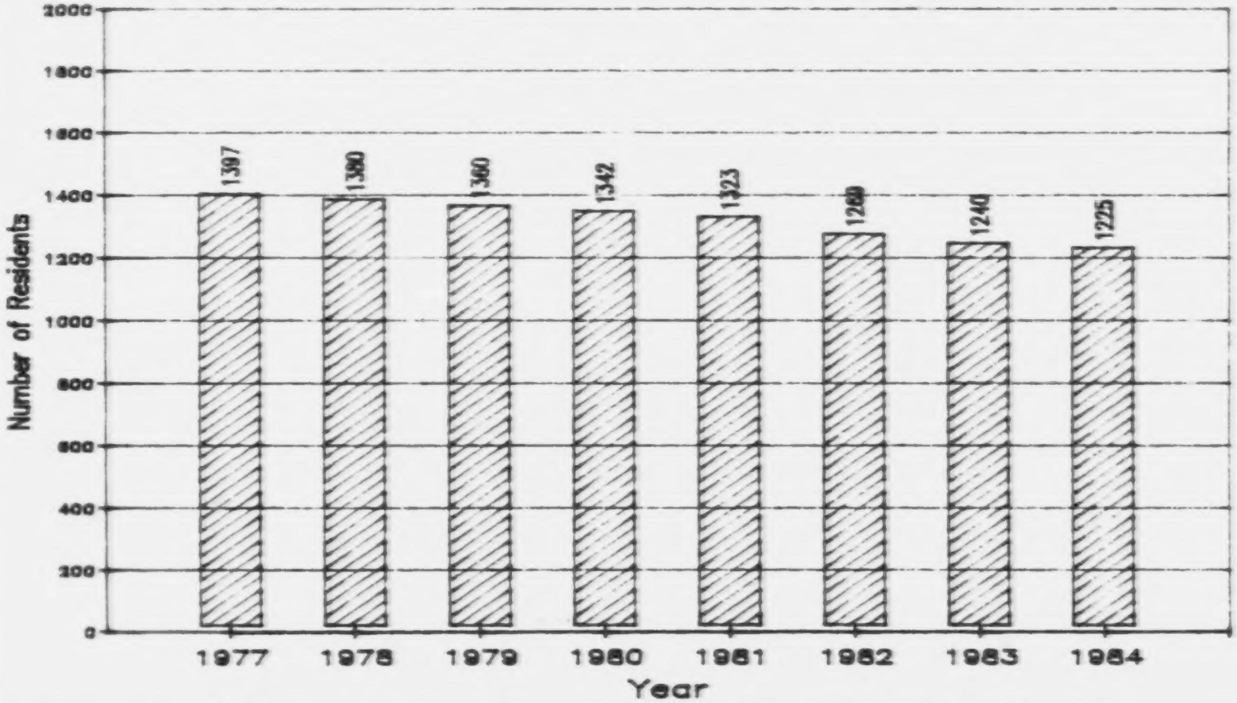
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IOWA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

IOWA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Division of MH/MR/DD is in the Department of Human Services. The two MR/DD Hospital-Schools and four Mental Health Institutions are fiscally managed by a sub-division designated "Institutions, Grants and Standards," while MH/MR/DD community programs are managed by a sub-division designated "Community Support." There is also a sub-division for "Program Development" serving the MH/MR/DD population.

2. Budget Format: The Iowa budget documents provided the following format for MR/DD programs:

- Department of Human Services
  - Division of Field Operations
    - State/Community MH/MR Fund
  - Mental Retardation Institutions
    - Glenwood Hospital-School
      - Balance Brought Forward
      - Internal Services Transfer
      - Federal Aid
      - Refunds and Reimbursements
      - Fees, Taxes, etc.
      - Sales and Services
      - Miscellaneous Income
      - Allocation ("State Appropriation" FY `77)
      - Transfers In
    - Woodward Hospital-School
      - (same lines as for Glenwood)

A number of other budget lines related to Mental Health Aid, MH Authority, MH Treatment, etc., were indicated within the Department of Human Services, Division of Field Operations, and as mentioned in Note 1 above, there are four Mental Health Institutions.

3. Note on Data Sources: Analysts reviewed Iowa Budget documents for the FY `77-`79, FY `79-`81, FY `81-`83, and FY `83-`85 Biennia. These documents provided "actual" expenditure figures for FY `78, `80, `82 and `83; "estimated" expenditures for FY `77, `79 and `81; and "Governor's Recommendations" for FY `84. A subsequent telephone interview with a state official (Harold Templeman, Budget Officer, Department of Human Services, 5/12/84) resulted in an upgrading of the FY `84 figure to "revised Appropriation."

Institutional and Community expenditure totals do not include a portion of the "General Administration Services" located elsewhere in the Department of Human Services budget, nor do they include capital development funds. (See note on "Construction"--Note 14 below.)

INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditure figures for the two Hospital-Schools, Glenwood and Woodward. Figures were originally obtained from the Iowa budget books (see Note 3 above); however, Mr. Dave Lyon, Grants Officer, Department of Human Services was contacted for Title XIX-Medicaid ICF/MR revenue figures, which he provided in correspondence (8/8/83), for FY `79 - FY `83. Subsequent correspondence (9/27/83) from Mr. Samuel J. Leto, Manager, Community Programs, Bureau of Finance, Department of Human Services provided the appropriation figures for "Institutional Services" for FY `84. The FY `77 and FY `78

"Institutional Services" figures as originally obtained from the Iowa budget books were modified as a result of a telephone interview (Leto, 11/1/83), and all years' figures were finally modified after a telephone discussion with Harold Templeman (5/12/84).

The combined "average daily population" figures for Glenwood and Woodward, provided by Templeman (5/9/84, telephone interview) are:

FY 1977 - 1,397
FY 1978 - 1,380
FY 1979 - 1,360
FY 1980 - 1,342

FY 1981 - 1,323
FY 1982 - 1,269
FY 1983 - 1,240
FY 1984 - 1,225

5. Other State Funds. During the FY `77-`84 analysis period, Iowa modified State accounts for Title XIX-ICF/MR revenue. Prior to FY `83 the Hospital-Schools were appropriated a "net" amount and utilized Federal and other revenue to make up the expenditure total. In FY `84, the appropriation is for the total amount, and Federal Title XIX revenue is received in the state's general treasury. In addition, there were modifications of the county reimbursements to the state for services to the counties' clients at the two facilities.

6. Title XIX. These expenditures represent the revenues earned at the Woodward and Glenwood Hospital-Schools and were obtained from sources cited in Note 4. See Note 14 below for clarification of the Revolving Capital Construction Fund.

7. Other Federal Funds are those reported as "Federal Other" in Budget documents for Woodward/Glenwood.

COMMUNITY SERVICES

8. State General Funds. Community Services General Fund for FY `77 through FY `81 consists entirely of the Title XX State match (Note 11 below). In FY `82-`84, the DD Council State Match (Note 12 below) is included as well. Also initiated in FY `83 and `84, there are expenditure figures included for the "State/Community MH/MR Funds" which is entirely supported by General Fund dollars. Iowa Statutes stipulate that no less that 40% nor more than 60% of the Fund can be expended on either MH or MR/DD clients; furthermore, 80% of the Fund is allocated direct to counties, while the remaining 20% is grants-in-aid to private providers of care (which must be endorsed by the counties' boards of supervisors).

   According to Department of Human Services officials (Lyons, Fein; phone interviews, 7/28/83; 9/10/83), these funds are projected at 50% for MR/DD individuals. Therefore, the State/Community MH/MR Fund amounts which have been included in this analysis are: FY `83--$680,000; FY `84--$1,180,000.

9. Other State Funds. These funds consist of Title XX county and local match (Note 11) in FY `77 -`81. In addition, in FY `82-`84 figures for DD Council county and local match are included (see Note 12 below).

10. Title XIX. There are no Title XIX Community Care Waiver funds reported in this analysis. The Waiver application was to be submitted in 1984, and implementation was anticipated in Summer, 1984.

11. Title XX. The actual MR/DD Title XX Federal, State and Local funds were available only for FY `82, as reported in a document forwarded to us by Iowa officials which was entitled "Funding of Mental Health/ Mental Retardation/Developmental Disabilities Services in Iowa: FY 1982" (no date). In concurrence with an Iowa official (phone interview, Leto, 10/18/83), total Iowa Title XX Federal revenues were obtained, and the same ratios of MR/DD Federal, State, and Local funds which were reported in the FY `82 document were applied to FY `77-`81 and FY `83-`84. State officials agreed that this was a responsible and reasonably accurate estimating technique.

12. Other Federal Funds. Beginning in FY `82, the DD Council funds are administered by the Division of MH/MR/DD, and are therefore included in the analysis. As indicated by Department of Human Services officials in telephone discussions (Lyon, Fein; 7/28/83 and 10/10/83), the Council funds are deployed at the rate of 65% for community and 35% for administration and planning. The Council fund amounts, therefore, which have been included in Community Services in this Analysis (the 65%) are (dollars in thousands):

	FY `82	FY `83	FY `84
Community Services	$479.7	$485.8	$485.4
Federal Funds	344.0	363.5	364.0
State Funds	17.4	18.3	18.2
Local/County Funds	118.3	104.0	103.2

The DD Council funds for "administration and planning" are not included in the analysis.

13. Private ICF/MR. This line consists of the expenditure figures reported by Leto in his 9/27/83 correspondence.

14. Construction. A "Revolving MR Capital Construction Fund - Title XIX" has been utilized since 1976. The figures below were reported by Leto (phone interview, 1/25/84; updated 6/6/84). (Dollars in thousands):

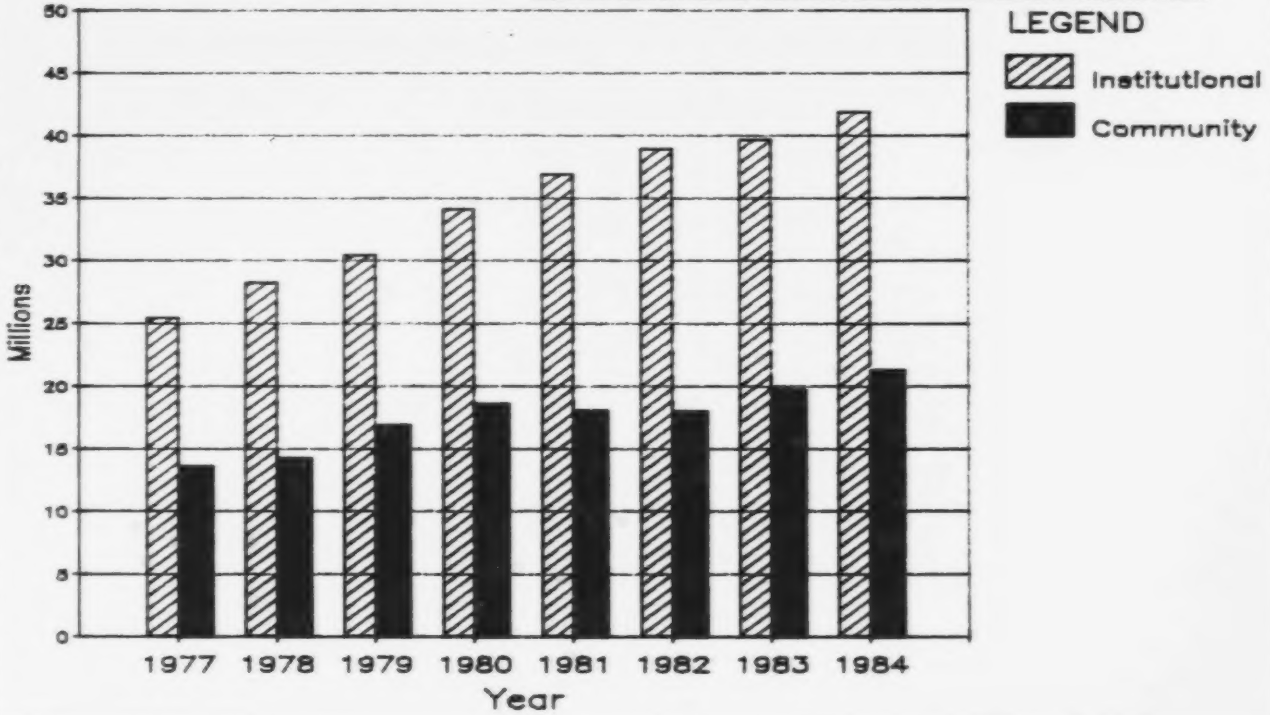
Revolving MR Capital Construction Fund

	1977	1978	1979	1980	1981	1982	1983	1984
Total	$11,859.5	$10,269.5	$5,865.2	$6,917.3	$7,548.5	$5,803.7	$6,319.8	---
Federal Title XIX	7,359.5	5,769.5	5,828.8	6,885.9	7,548.5	5,775.2	6,319.8	---
State Funds	4,500.0	4,500.0	------	------	------	-------	------	---
Other funds	----	----	36.4	31.4	------	28.5	------	---

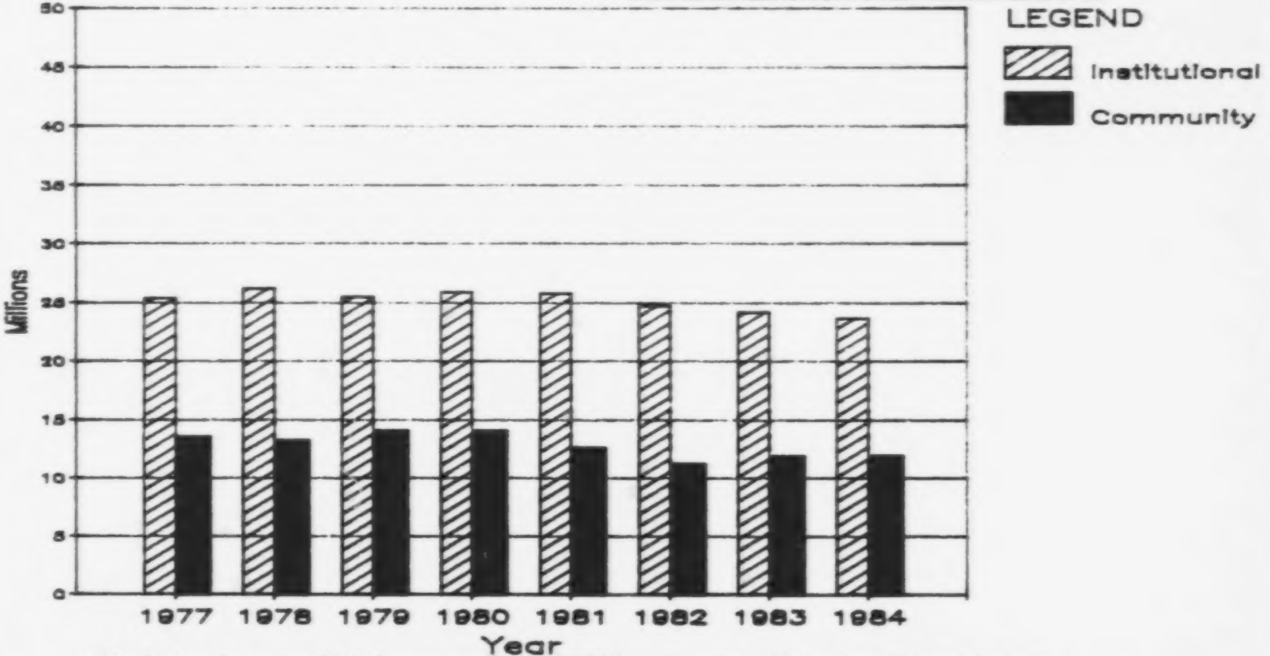
These funds represent Federal Title XIX funds reimbursing for operations, but set aside each year with State/Local matches, to provide a revolving capital construction pool. According to Harold Templeman, Budget Officer, Department of Human Services (telephone interview, 5/12/84) the fund is at less then one million dollars in FY `84. Since these dollars are totally dedicated to construction, as expenditures they are excluded from the analysis at this time. That is, the expenditure totals for Institutional Services do not include these amounts. However, since the Title XIX Federal figures above represent funds received in reimbursement for operations, these Federal revenues are included within the Title XIX lines in Institutional Services. This has the "net" effect, in our analysis, of demonstrating the total Federal reimbursement earned at the Hospital-Schools, yet including only operational--not capital--costs in the Institutional Services expenditure totals.

The Fund has been utilized to construct cottages at Glenwood/Woodward: 12-24 beds per cottage, 2 residents per room.

KANSAS
STATE PROFILE



KANSAS
Comparative Annual MR/DD Expenditures
for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



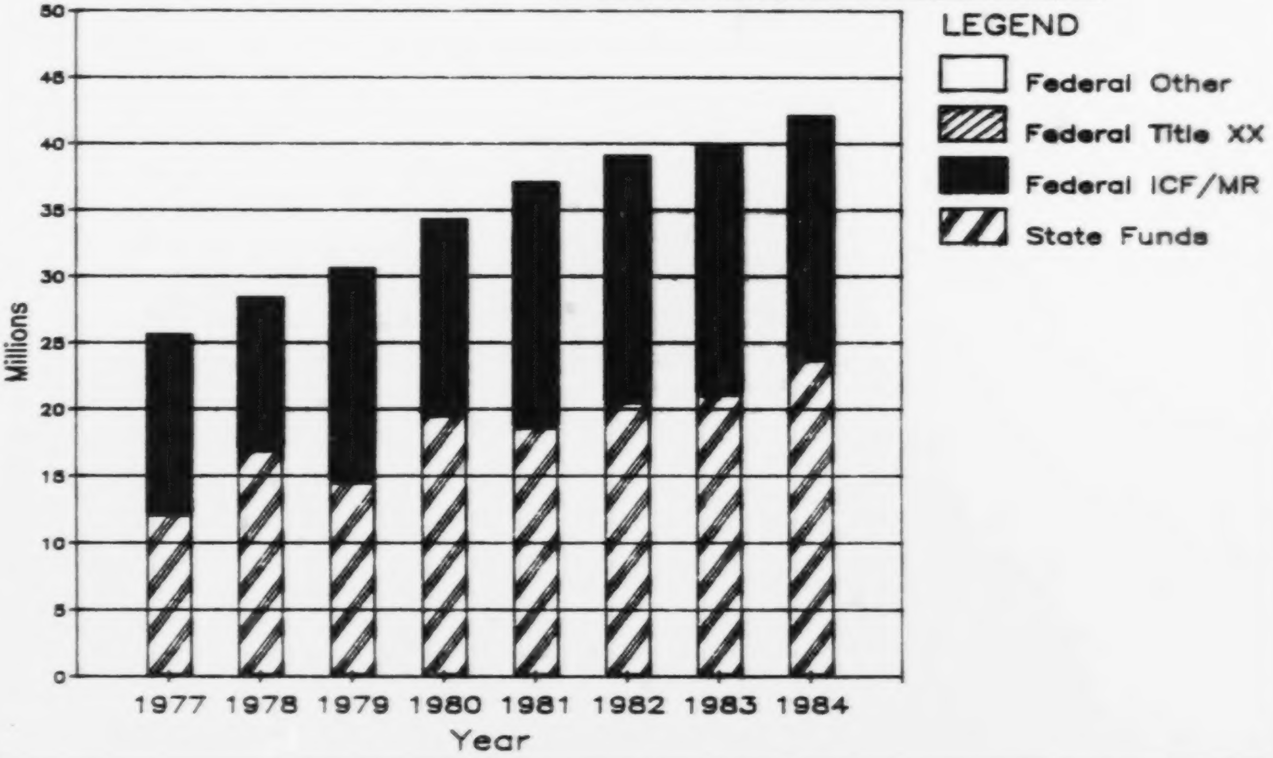
FY 1977–1984, *In 1977 Dollars*

* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

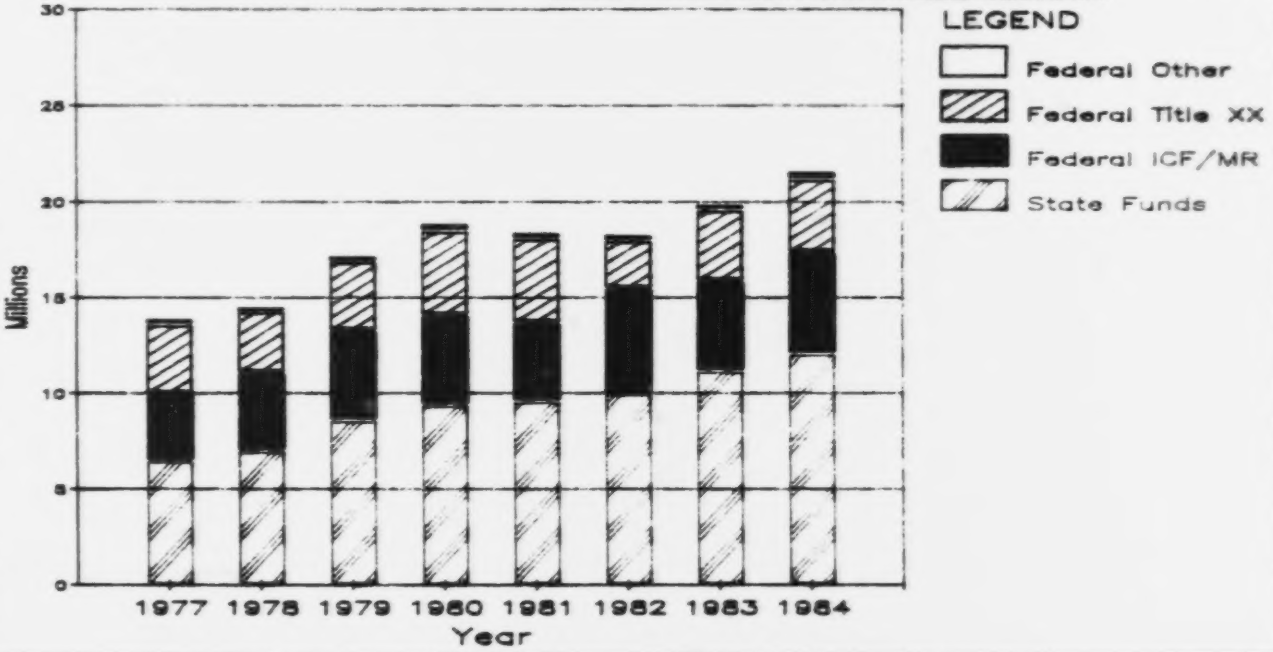
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KANSAS

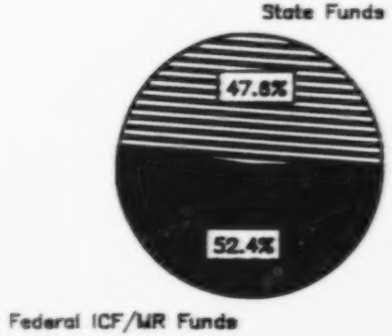
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



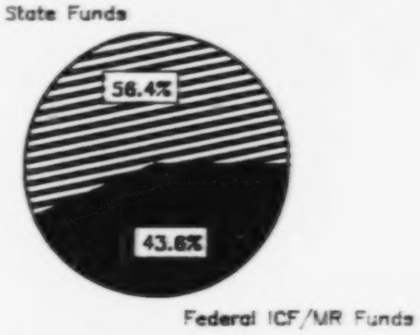
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



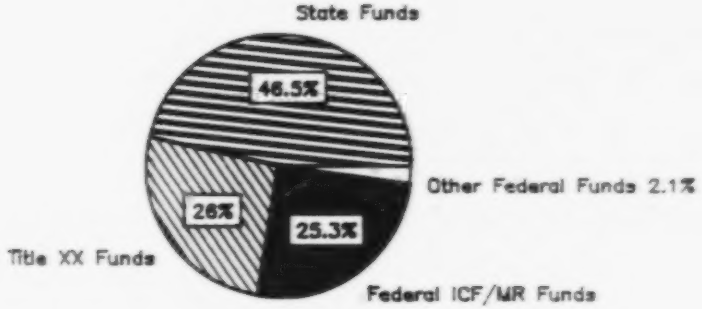
KANSAS
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



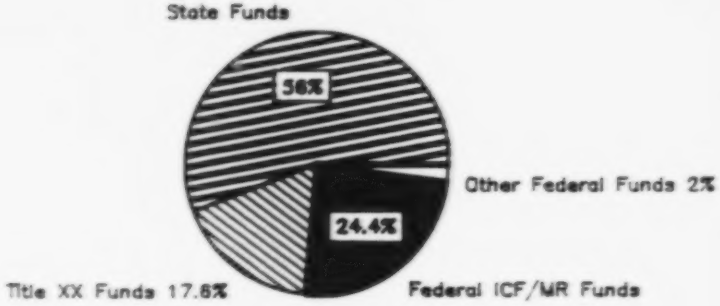
Institutional: 1977 Total Funds—$25.7 Million



Institutional: 1984 Total Funds—$42.2 Million



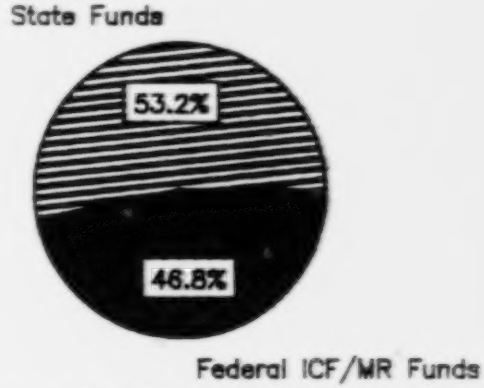
Community: 1977 Total Funds—$13.9 Million



Community: 1984 Total Funds—$21.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

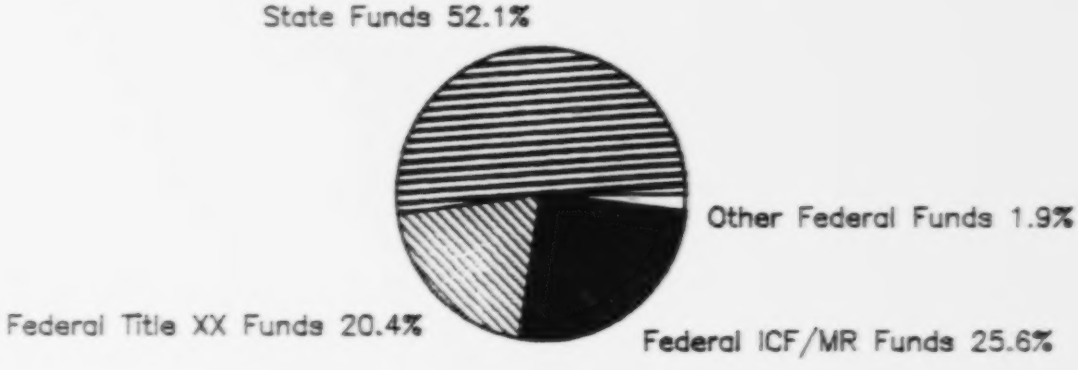
KANSAS
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $278 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

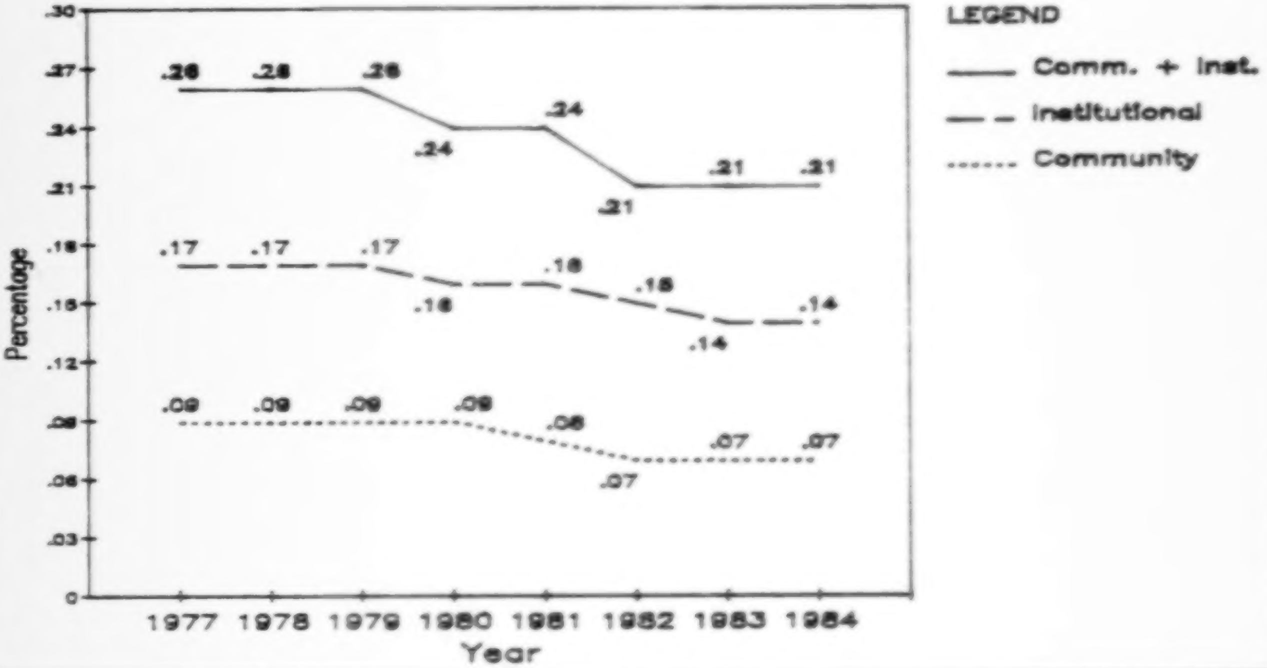


Total Community Dollars: $143 Million

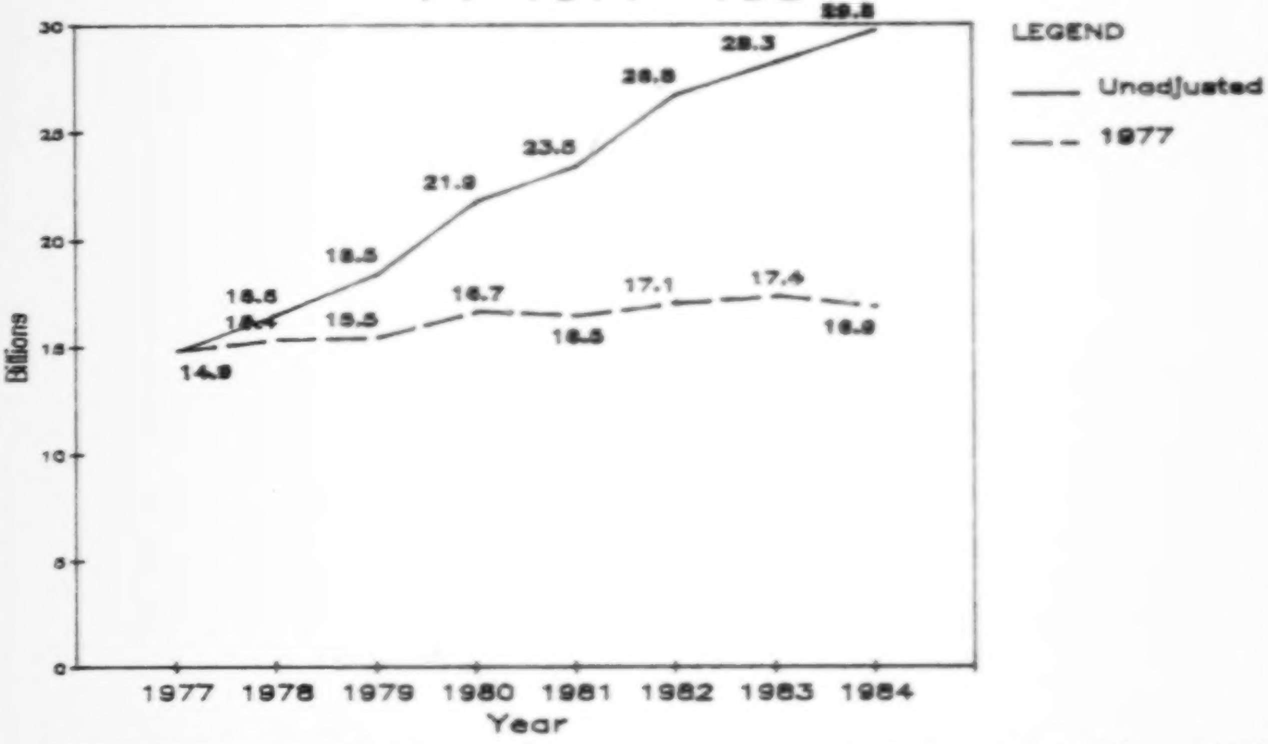
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KANSAS

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



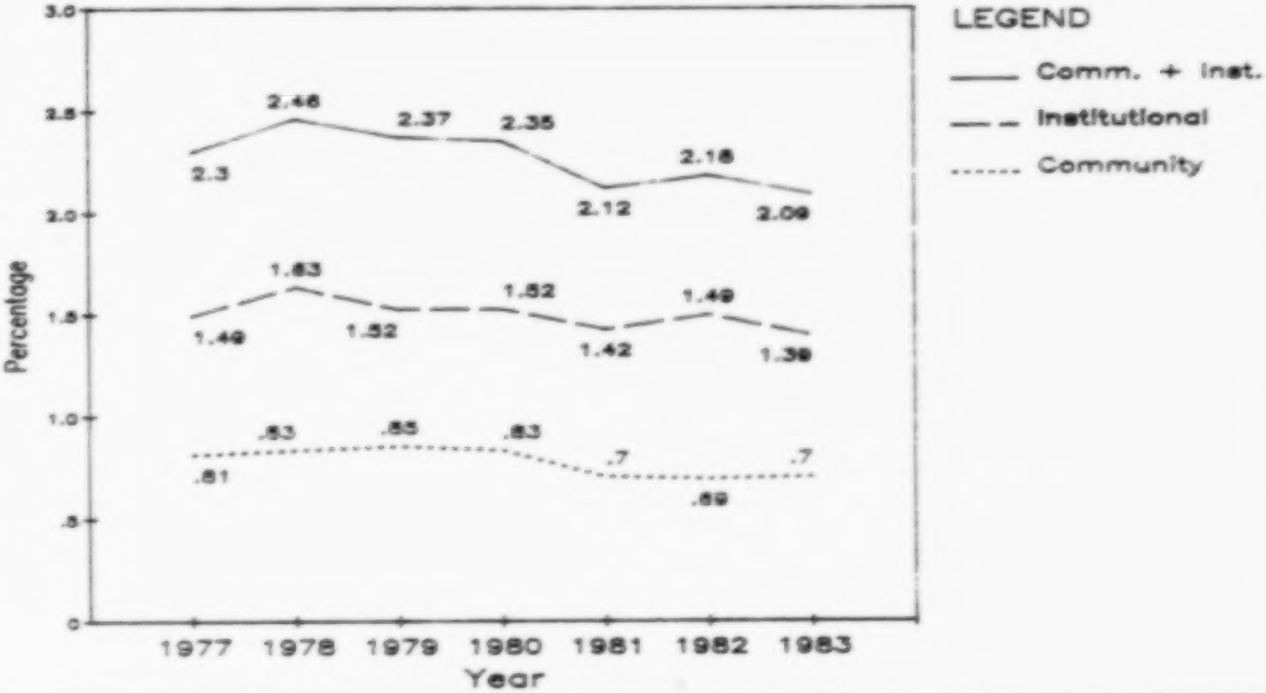
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



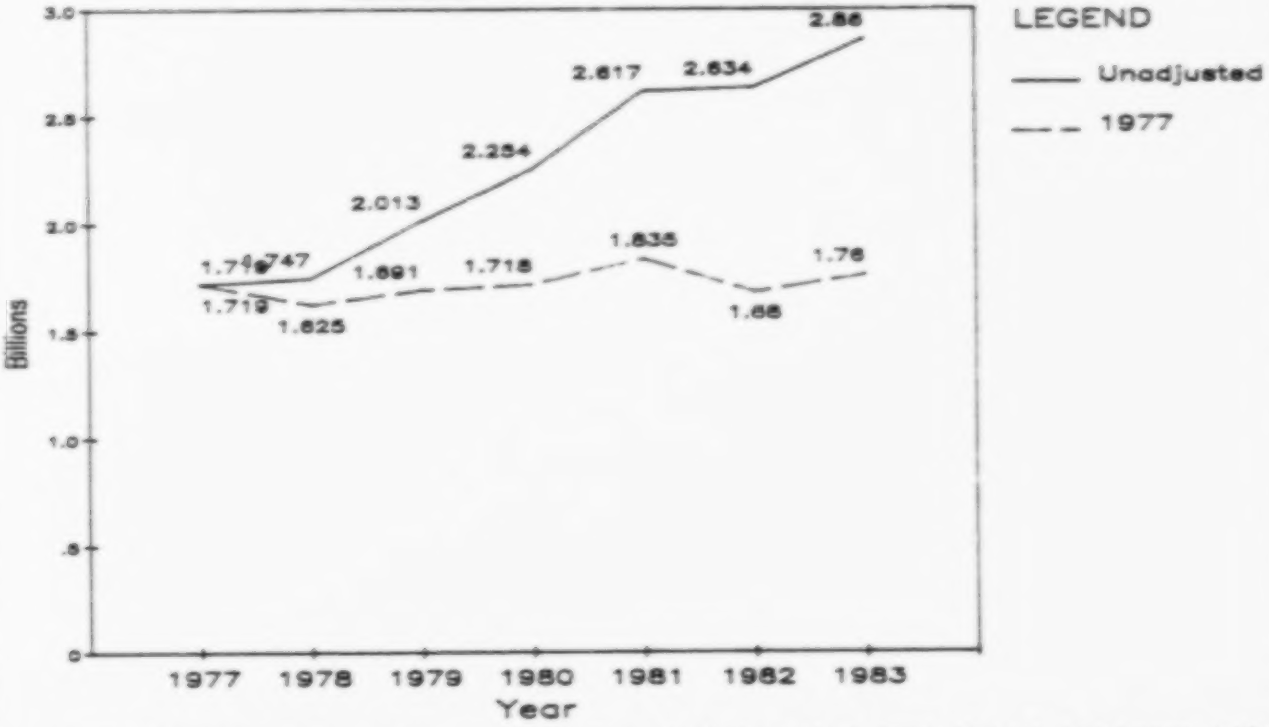
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KANSAS

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



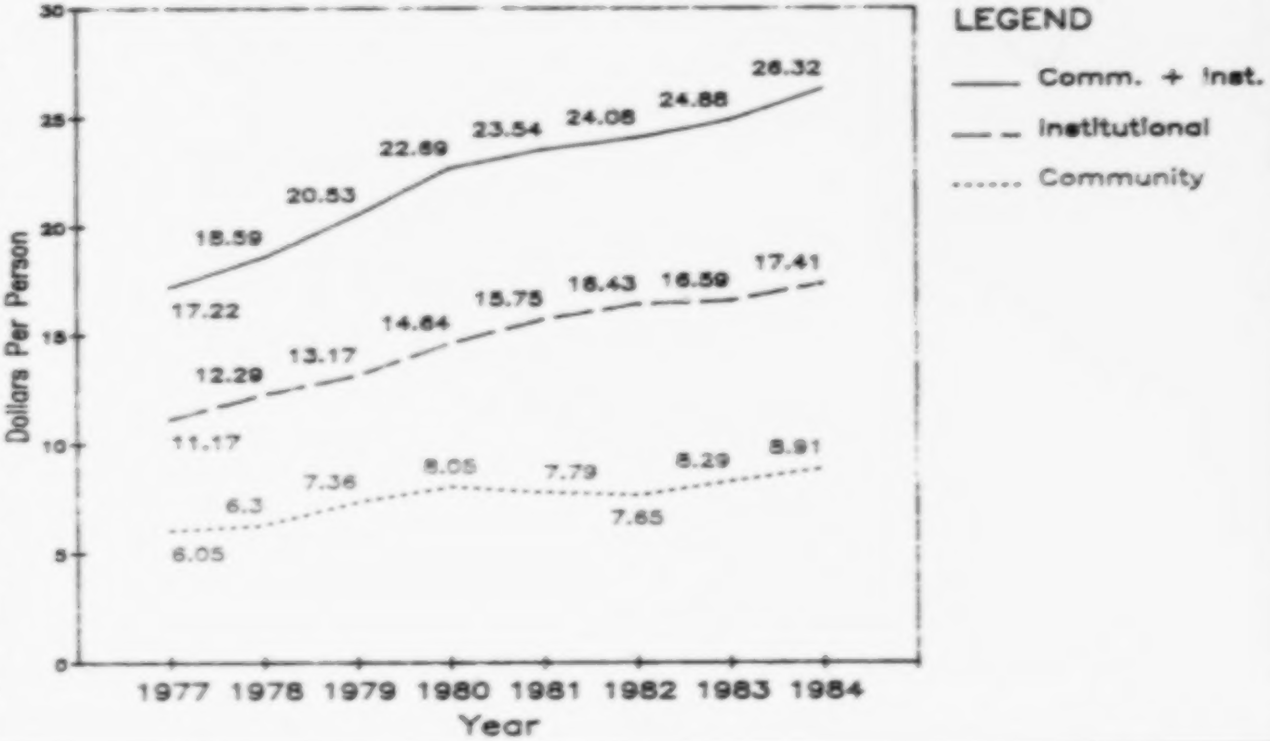
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



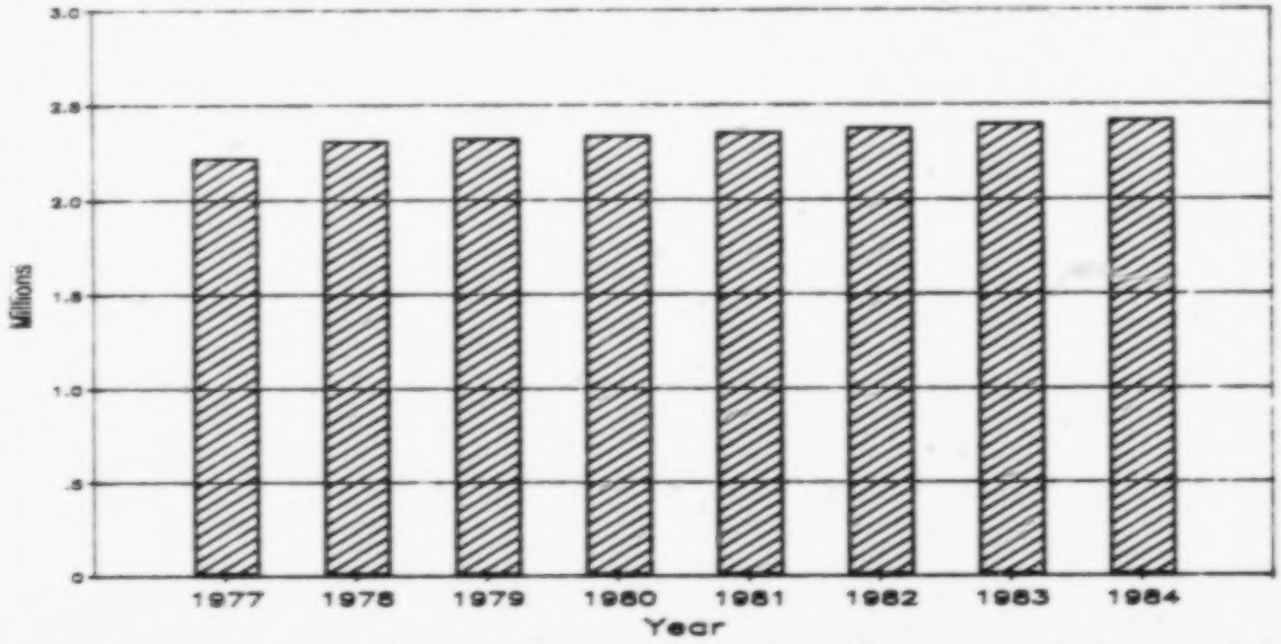
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KANSAS

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

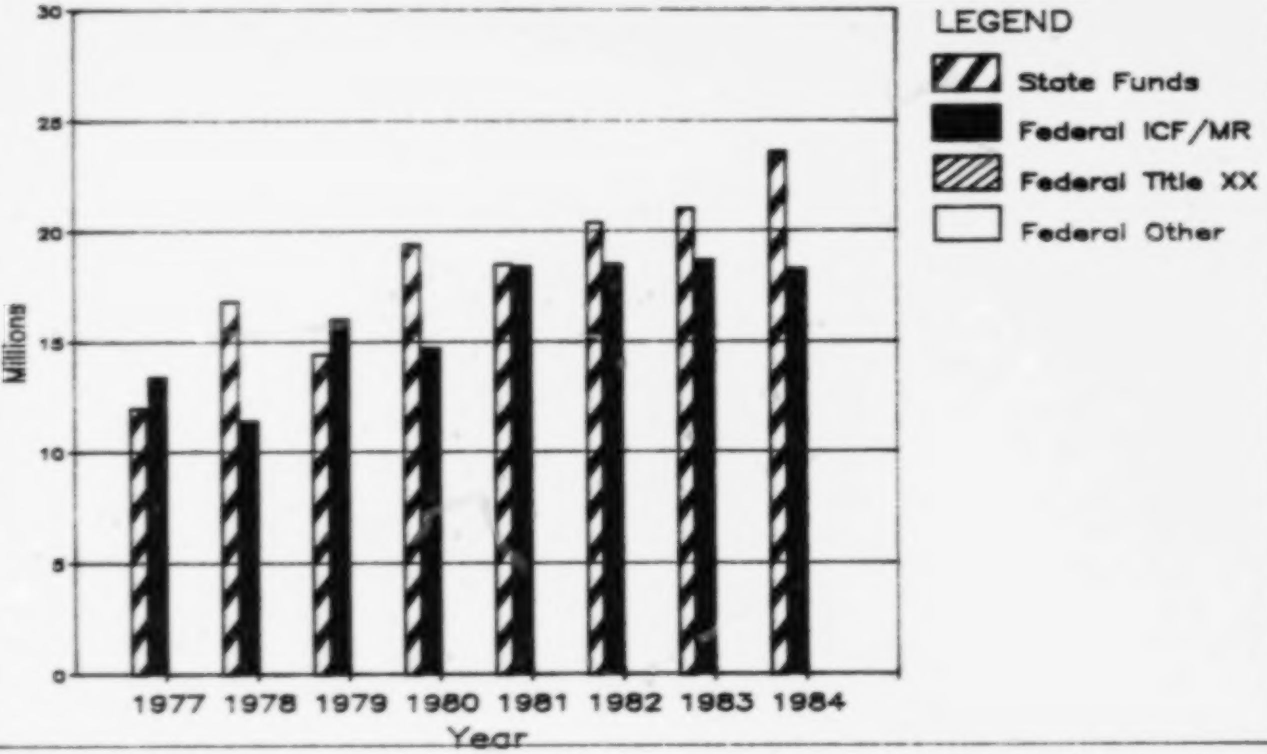


Source: Braddock, Hemp, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

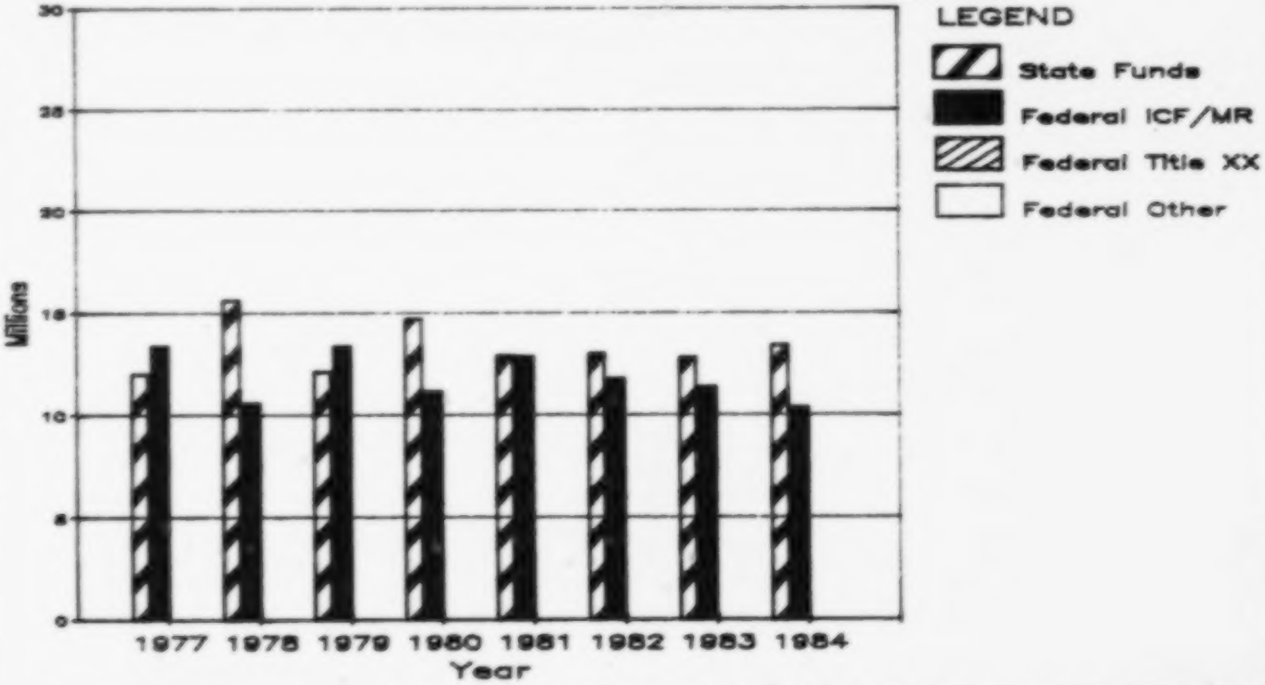
KANSAS

MR/DD Expenditures for ***Institutional*** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

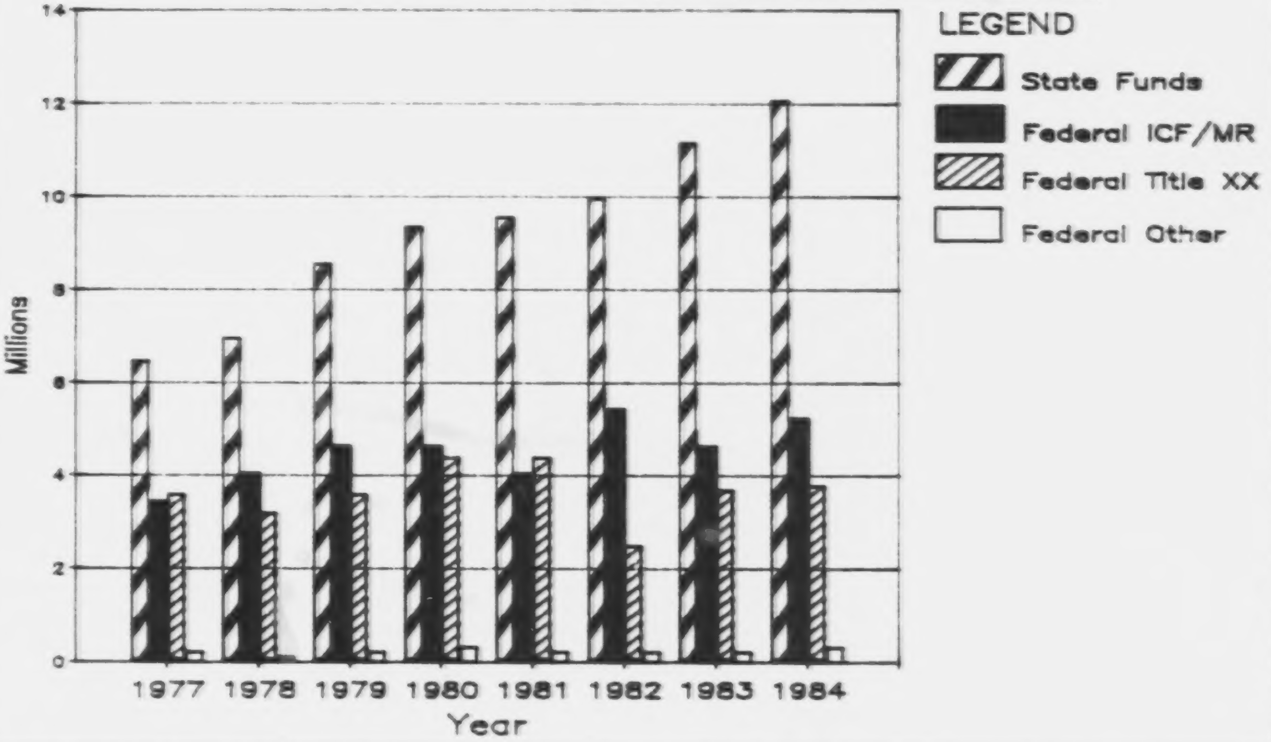


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

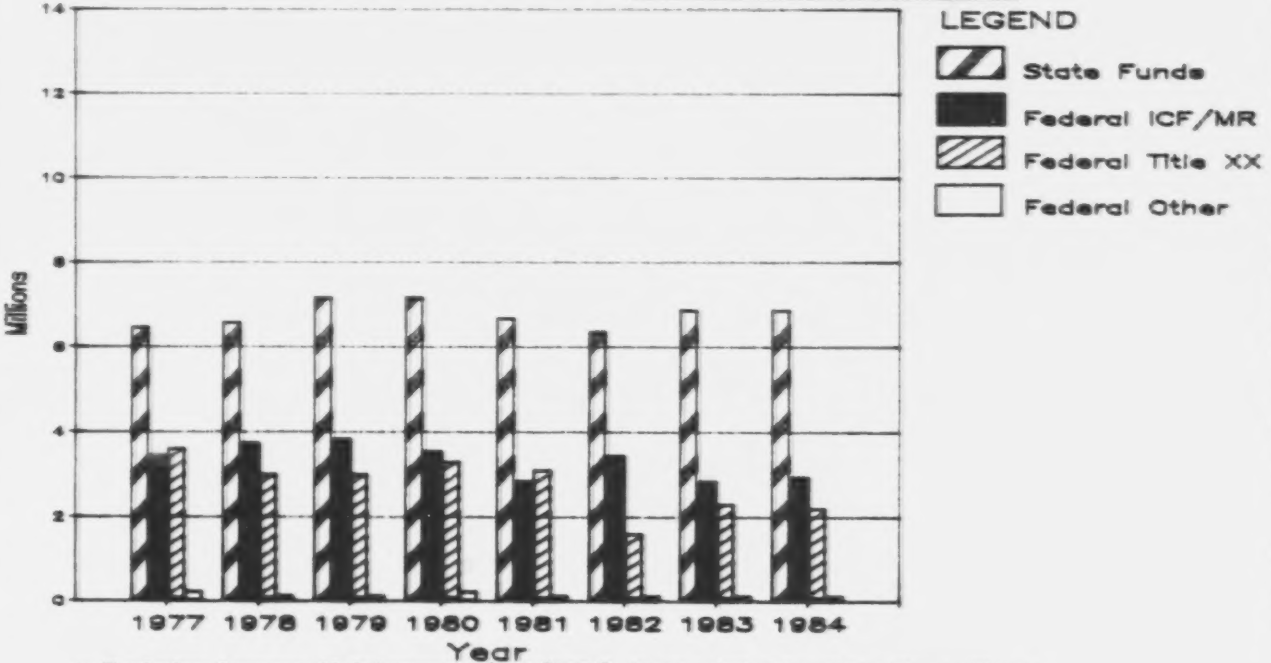
KANSAS

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



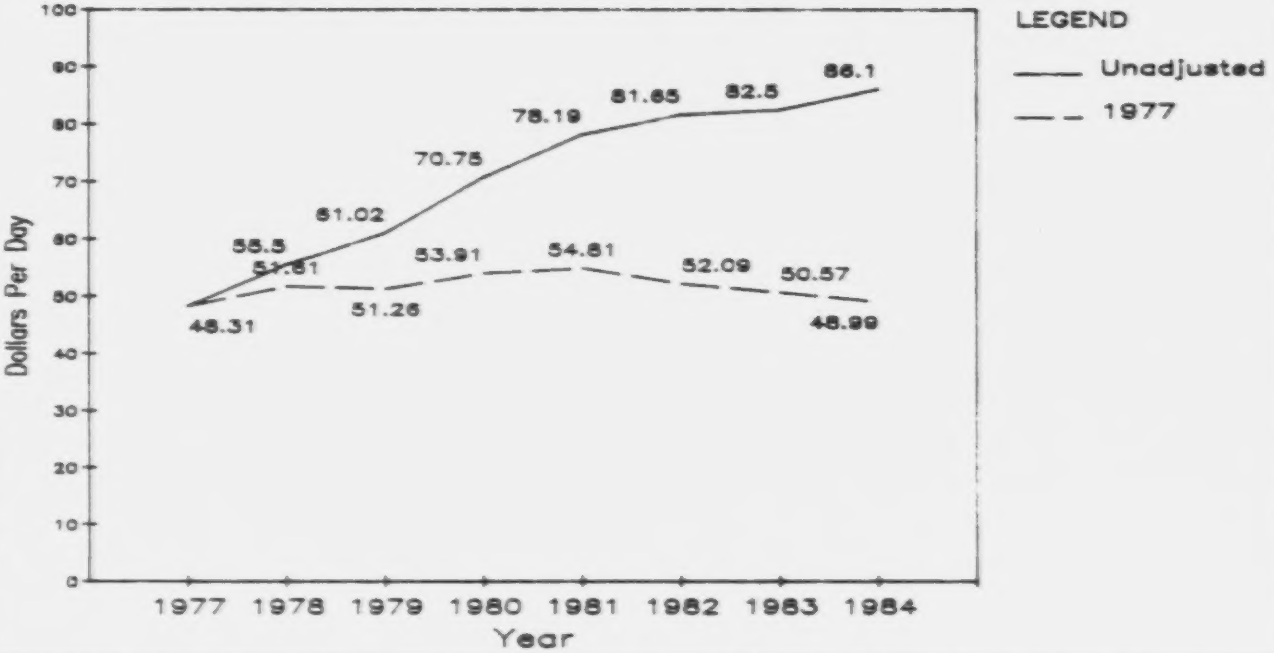
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

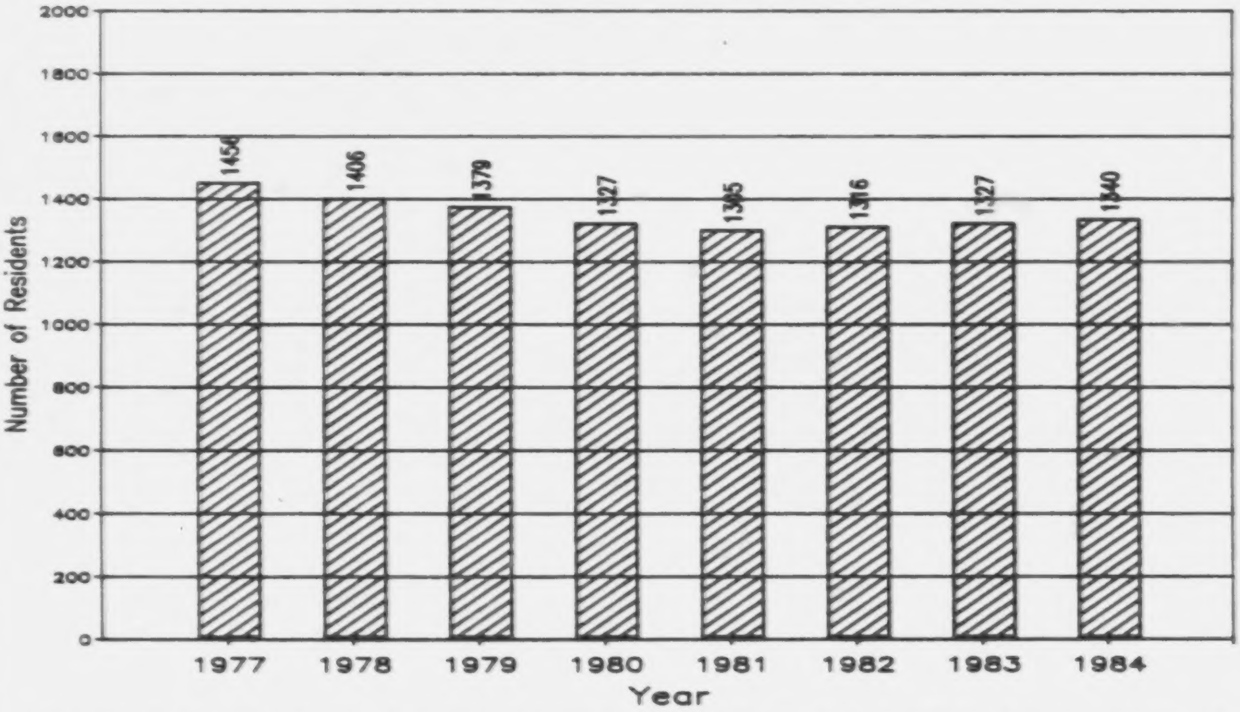
KANSAS

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KANSAS

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The State of Kansas' principal MR/DD services agency is located in the subdivision of Mental Retardation Services, within the Division of Mental Health and Retardation Services. The Division of MH/MR is located within the State Department of Social and Rehabilitation Services. Mental Retardation Services administers four institutions and twenty-eight community-based service agencies.

2. Budget Format: The FY `83 and FY `84 Governor's Budgets present expenditure figures in the following format:

   MR Services
    State General Fund
    Other Funds
    [Capital Improvements]*

   State Hospital and Training Centers (listed individually) and Kansas Neurological Institute
    State General Fund
    Other Funds
    [Capital Improvements]*

   *Note: These are non-add figures.

3. Note on Data Sources: Kansas Governor's Budget documents were reviewed for Budget Years 1979, 1982, 1983 and 1984. These documents provided "actual" expenditure figures for FY `77, `79, `80, `81, and `82; "estimate" figures for FY `78 and `83; and a "Governor's Recommended" figure for FY `84.

   The "MR Services" detail was lacking FY `77 through FY `80 in these budget documents; the detail of "Other Funds" was lacking FY `81 through FY `84; and there was a budget line within the Division of MH/MR entitled "Aid to Local Units of Government" for which it was not possible to distinguish MR and MH expenditure shares. Because of these limitations of interpreting expenditures from the state budget documents, we contacted R. Don Horner, Ph.D., Director of Mental Retardation, on 9/14/83 (telephone). He forwarded correspondence (10/17/83) which provided clarification of the funding sources for Community and Institutional Services. In subsequent phone interviews, we obtained additional detail from Dr. Horner on a) the Title XIX Community Care Waiver Federal funds which were anticipated; b) the private ICF/MR expenditures (provided to him by the Kansas Department of Welfare); c) clarification about the inclusion or exclusion of certain fund sources; d) clarification that expenditure figures provided by him were "actual" FY `77 through FY `83 and "appropriated" for FY `84 (with the exception of FY `84 Private ICF/MR figures, which are "projected").

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditures for Parsons State Hospital and Training Center, Norton State Hospital and Training Center, Winfield State Hospital and Training Center, and Kansas Neurological Institute. The annual total expenditures for these facilities provided by Dr. Horner correspond closely to the sum of the annual expenditures published for each facility in the budget books.

The aggregated "average daily census" for these four facilities is:

1977 - 1,456
1978 - 1,406
1979 - 1,379
1980 - 1,327
1981 - 1,305
1982 - 1,316
1983 - 1,327
1984 - 1,340

Source: R. Don Horner, MR, telephone interview, 6/7/84.

III. COMMUNITY SERVICES

5. Community Services consists of the state funds provided to twenty-eight community-based service agencies, and also the Federal funding sources noted below.

6. Other State Funds consist of the county match to Title XX (SSBG) Federal funds (see Note 8 below).

7. Title XIX in FY `83 and FY `84 consists of the estimated Federal revenue available under the Title XIX Community Care Waiver. The figures were provided 12/7/83 by Horner (telephone), and are revised down from his earlier estimates, since agencies are not providing Waiver services to the degree originally anticipated. Note: Since Waiver services are managed and budgeted by Medical Services, which budgets for the State match, this match amount has been added to the General Fund figures above for Community Services ($91.1 thousand in `83 and $101.3 thousand in `84).

   Additional Note: Services under the "Medical Card" for MR/DD clients are not included in the current analysis. In a special report which Horner had done for a legislative commission reviewing Kansas MR/DD expenditures in FY `83, he noted that the Medical Card services for MR/DD clients (for physicians, prosthetics, dentists, etc.) amounted to an estimated $30.9 million in Federal/ State Medicaid expenditure.

8. Title XX consists of Title XX (FY `77 - FY `81) and Social Service Block Grant (FY `82 - FY `84) Federal funds. Kansas statute allows the Department of Social and Rehabilitation Services to receive local government funds as the 25% match to these funds. These funds primarily are from counties, which utilize a mill tax, and are entered in this analysis as Other State Funds (see Note 6 above). Our Analysis has also calculated 25% match amounts for FY `82-`84--even though the Federal Block Grant does not require this match, the same match funds are in place in those community programs as was the case in FY `77-`81.

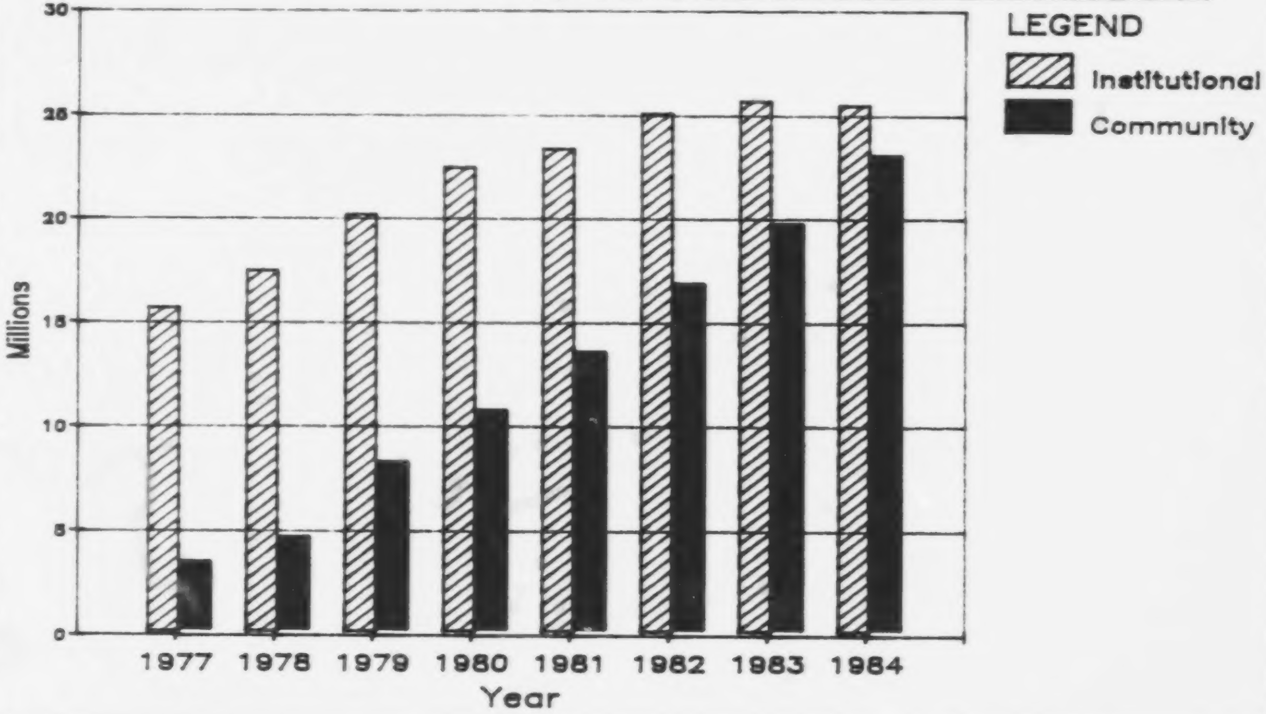
9. Other Federal Funds consist of Developmental Disabilities Act Federal funds, which are service grants administered by the Division of MH/MR; not included are DD Act Protection and Advocacy funds.

10. Private ICF/MR expenditures support 640 private ICF/MR beds. There are several large facilities, and a total of 18 units utilizing the ICF/MR Fifteen Bed or Less standards, but in campus arrangements. One facility, operated by McPherson County Diversified Services, is a free-standing fifteen-bed facility. The funding for private ICF/MR facilities is managed by the Department of Welfare, Medical Services Office. The figures were provided by Horner (11/22/83); 1977 data are extrapolated (the `77/`78 ratio is based on the `78/`79 ratio).

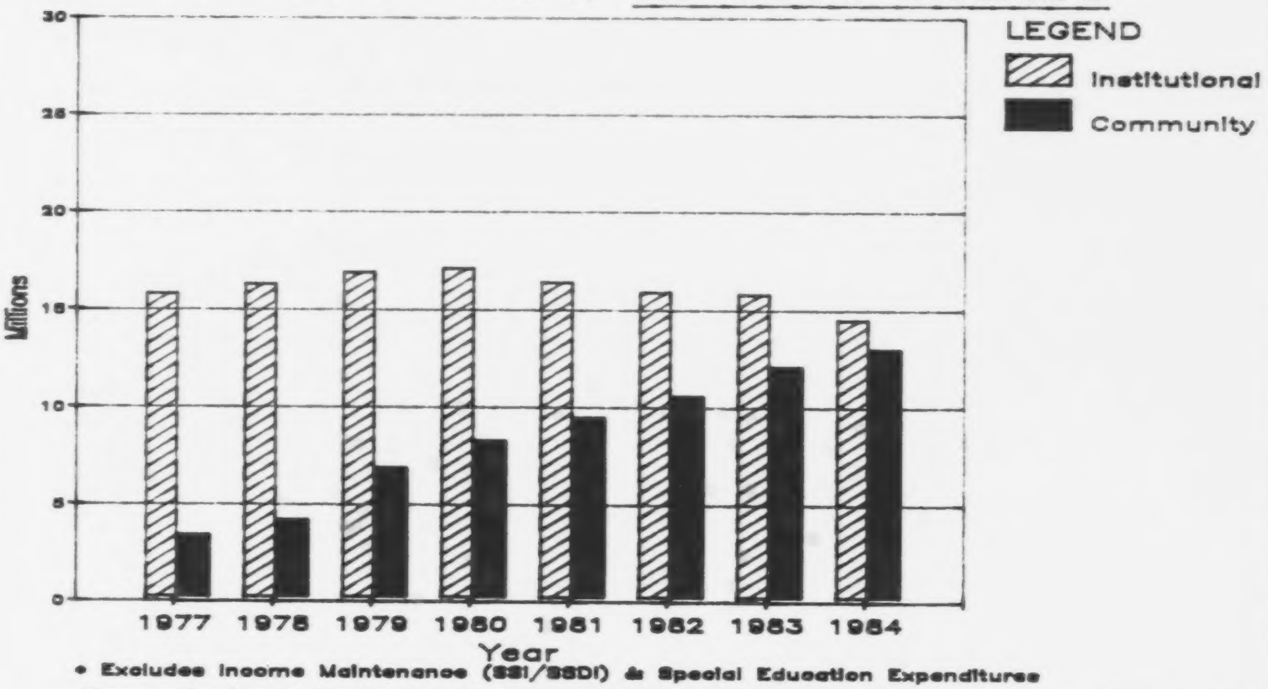
KENTUCKY

STATE PROFILE

KENTUCKY
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

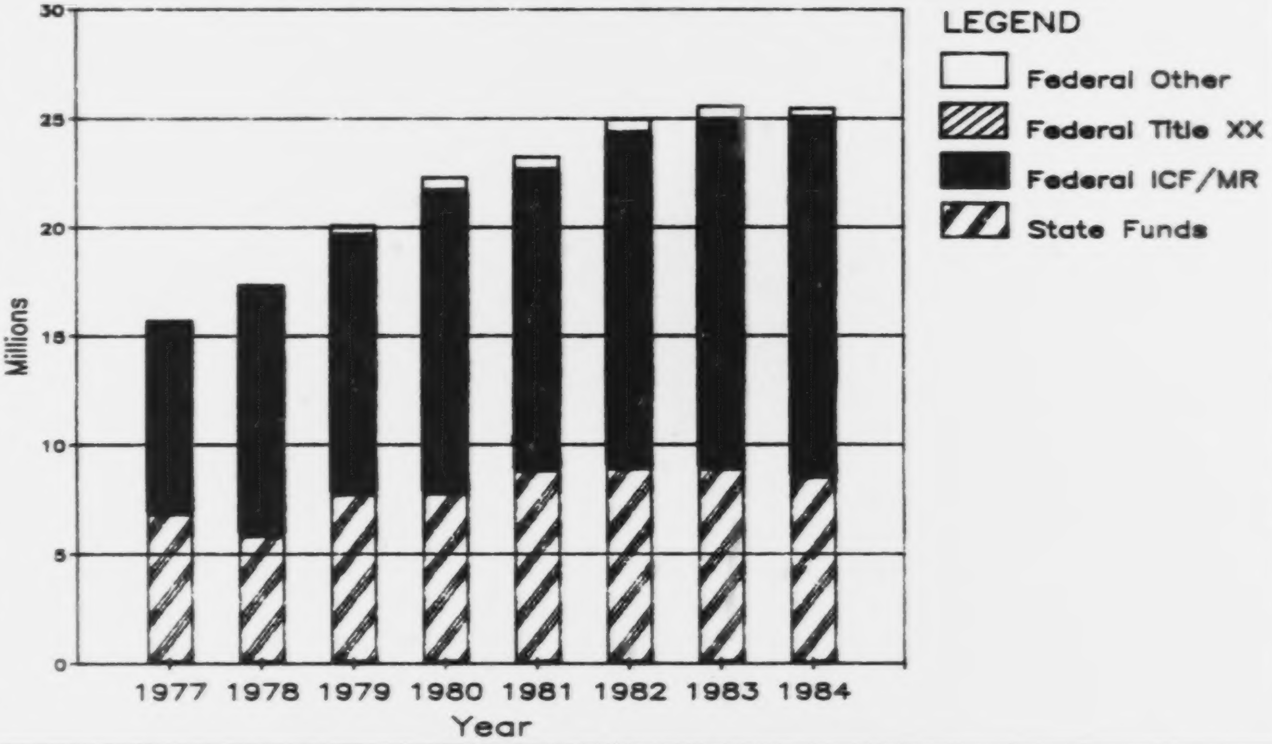


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

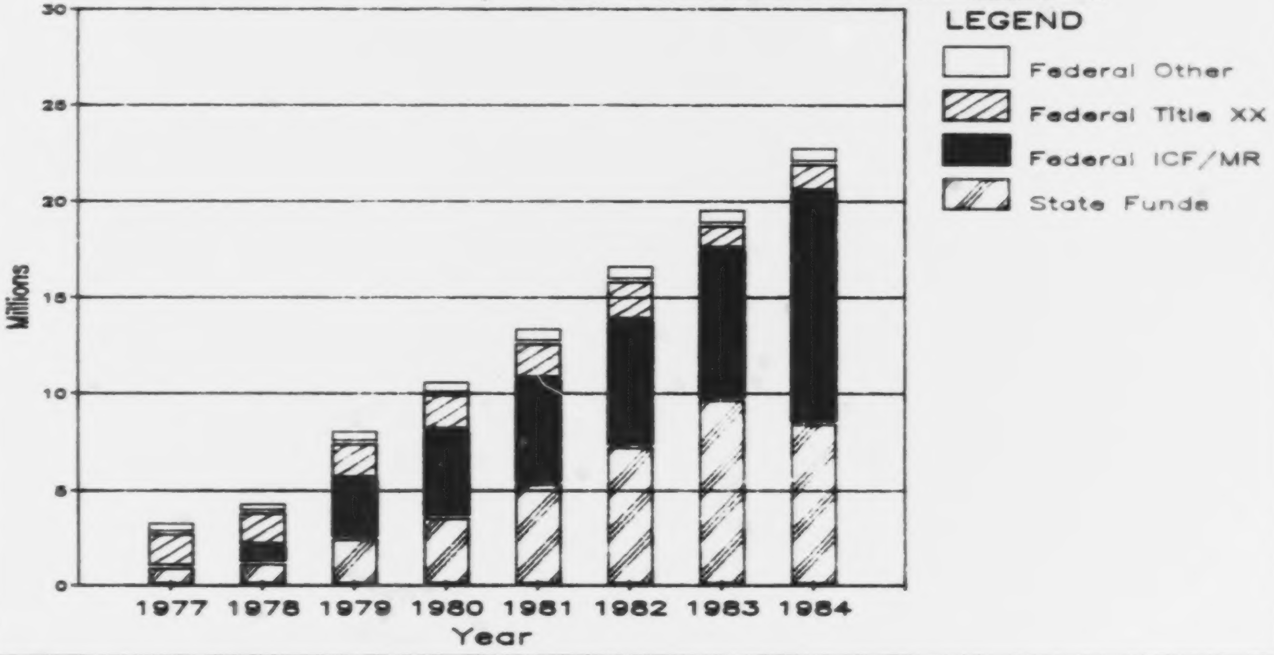
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



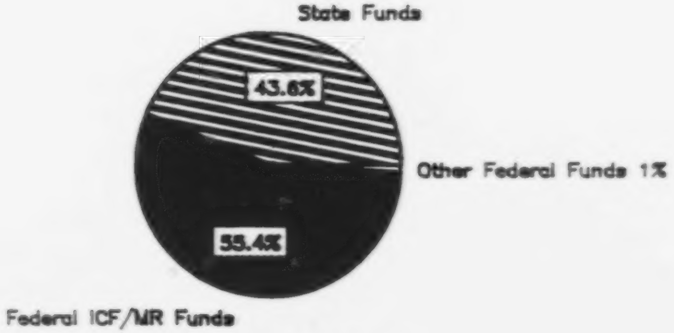
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



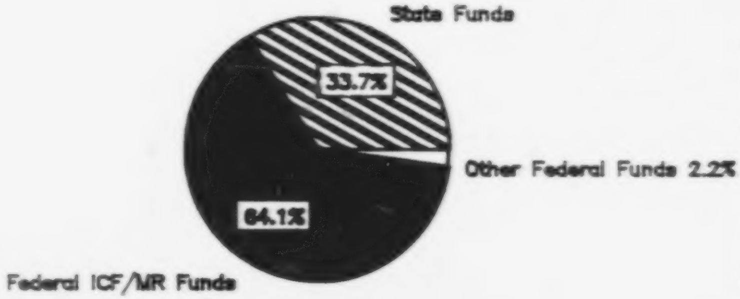
KENTUCKY

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

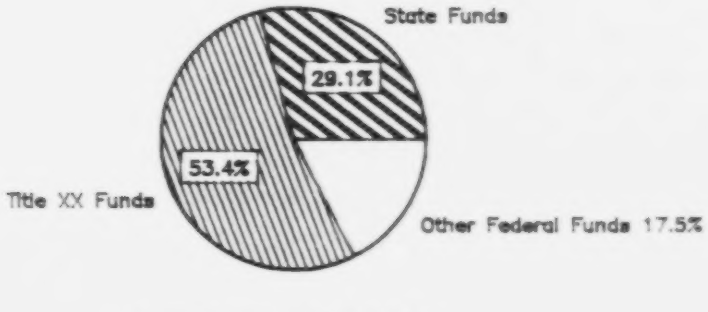
FY 1977 & 1984



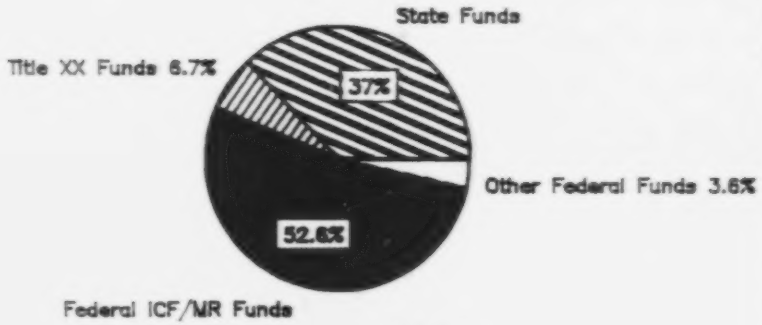
Institutional 1977: $15.7 Million



Institutional 1984: $25.5 Million



Community 1977: $3.4 Million

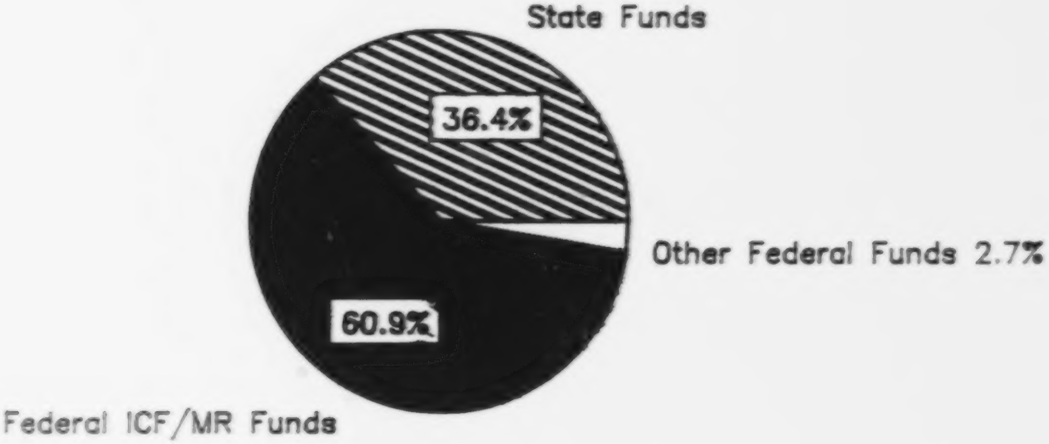


Community 1984: $23 Million

***Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984**

KENTUCKY
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

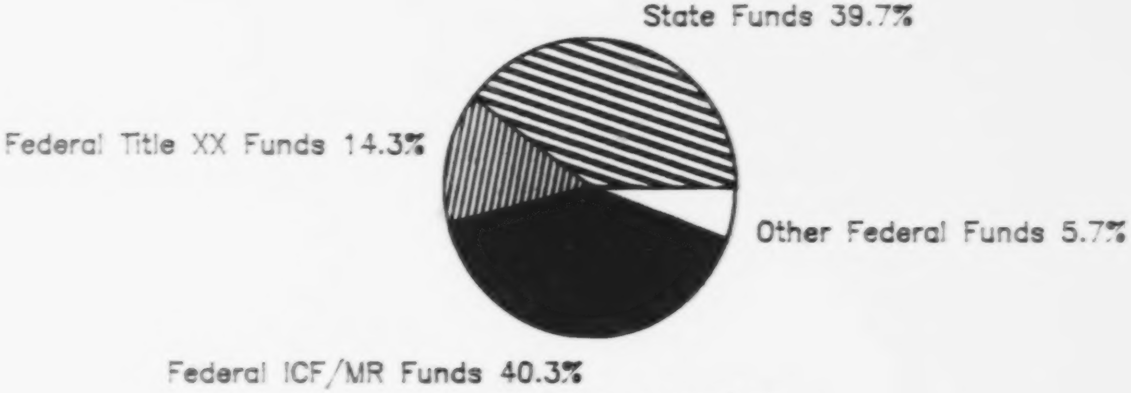
Institutional Services Funds



Insitutional Total: $175 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



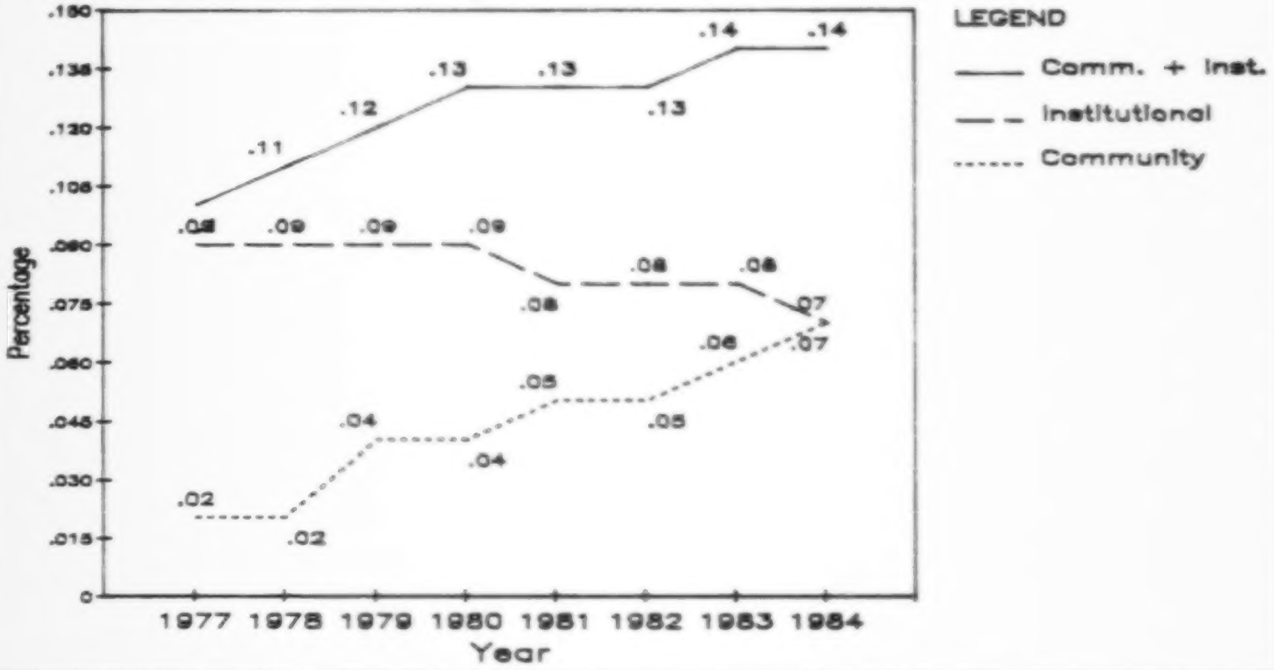
Community Total: $ 100 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

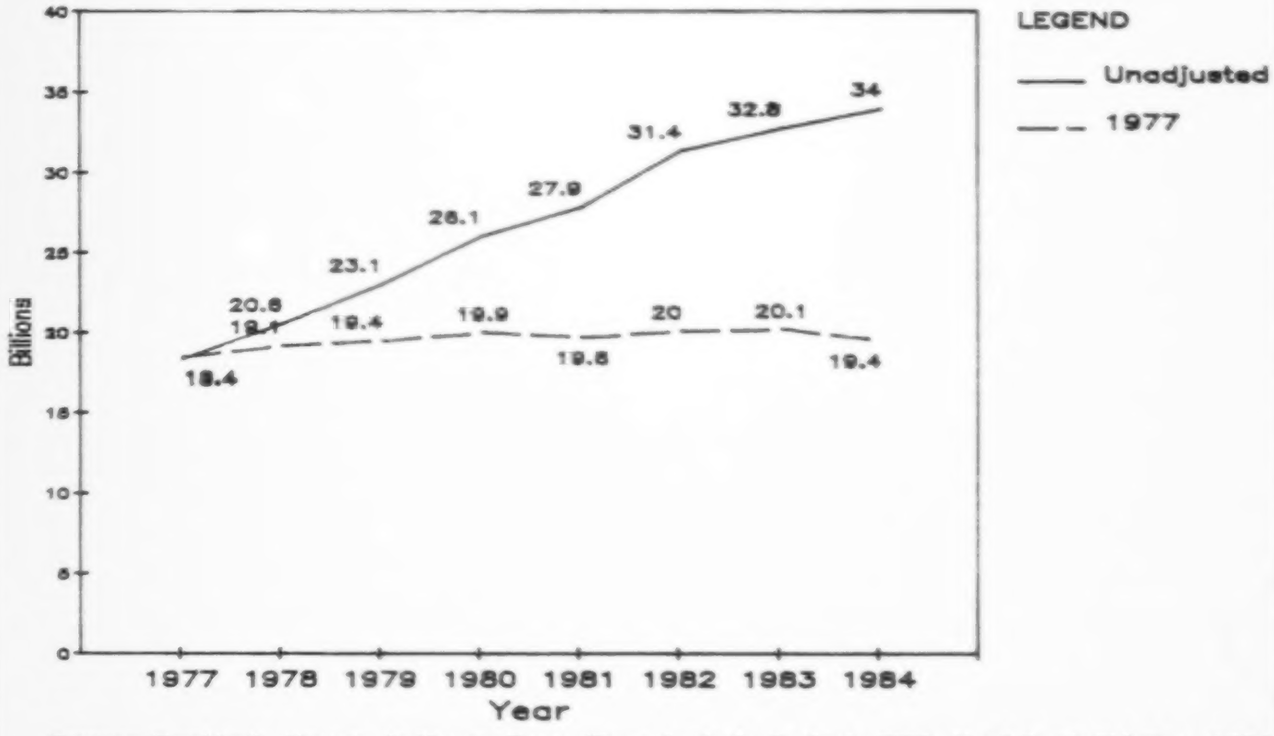
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977—1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

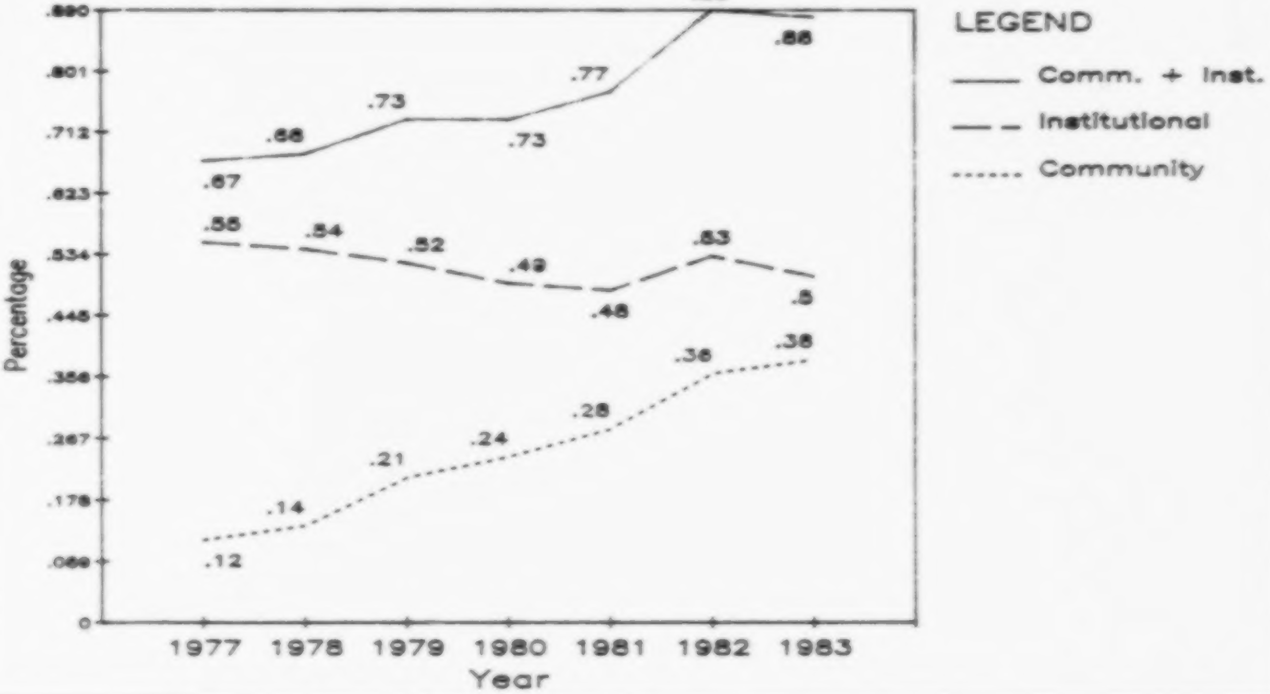
FY 1977—1984



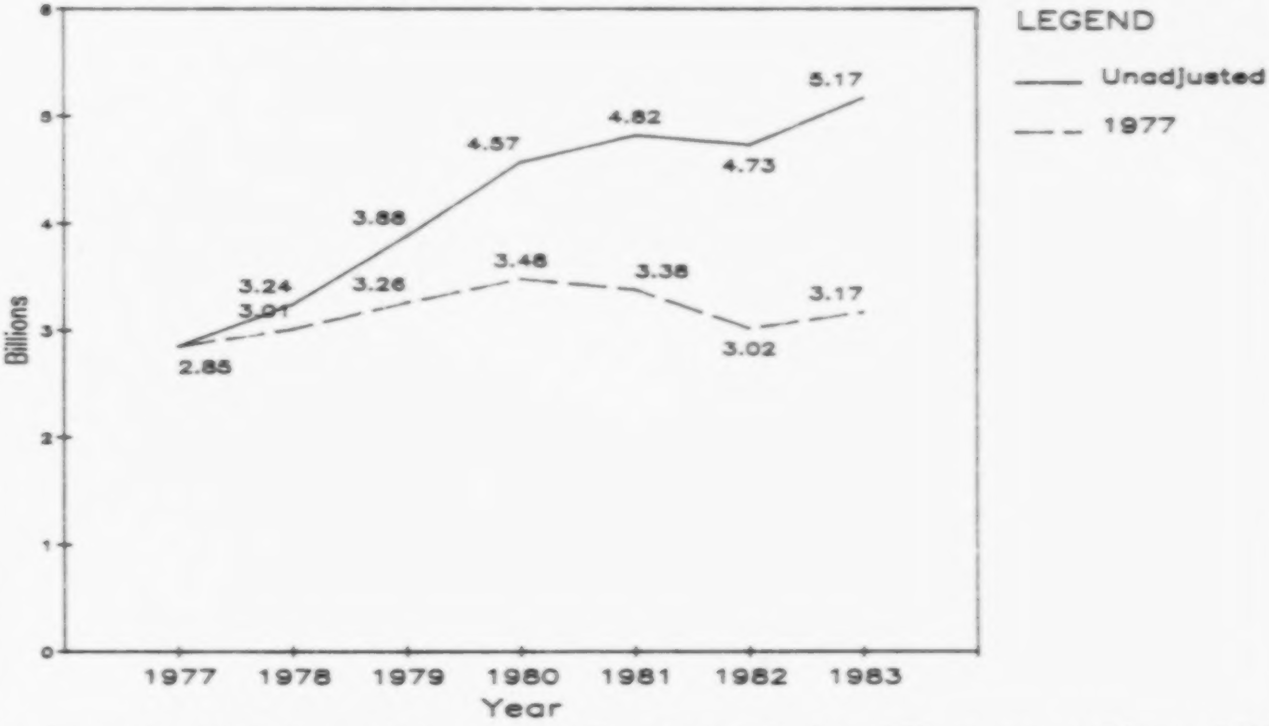
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



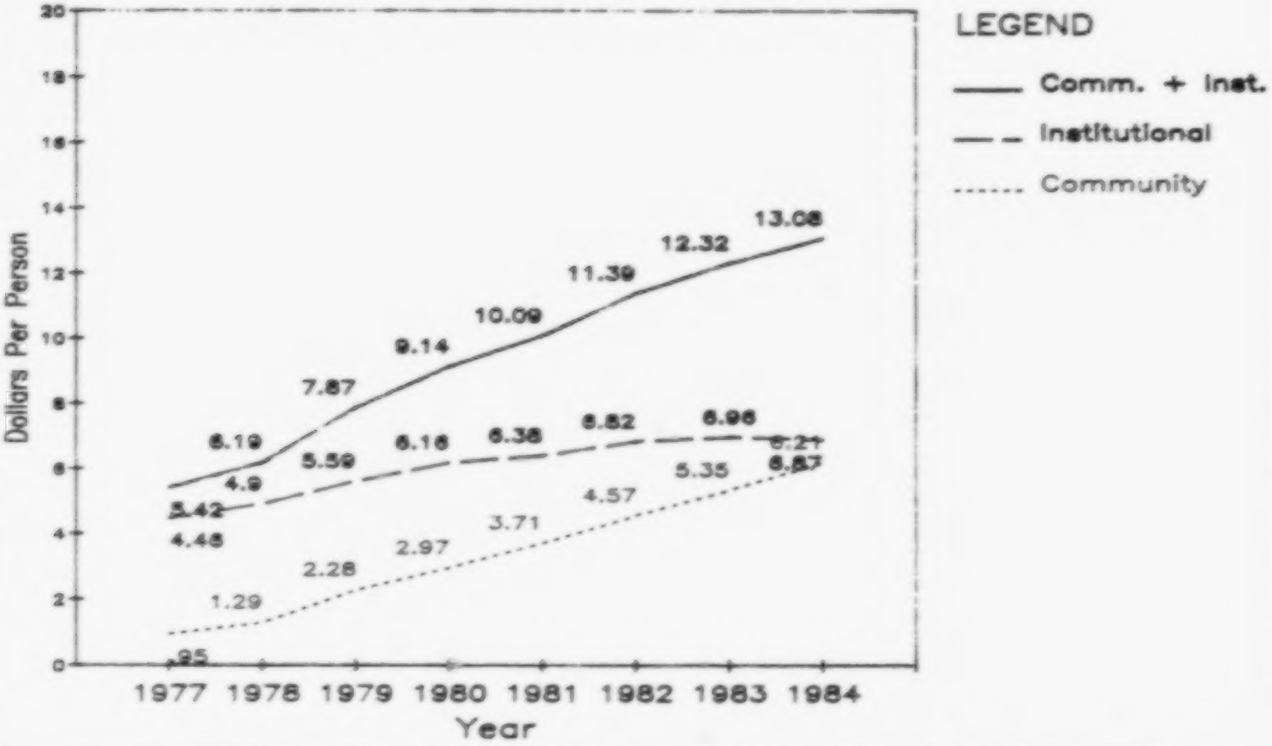
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



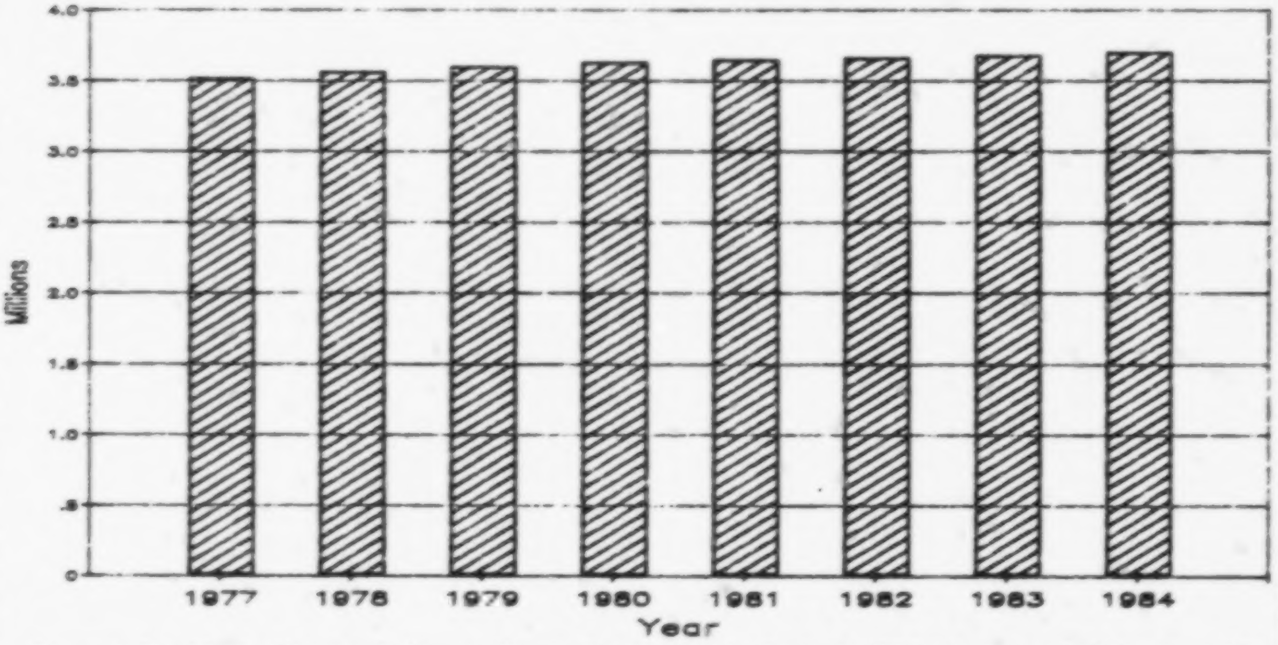
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



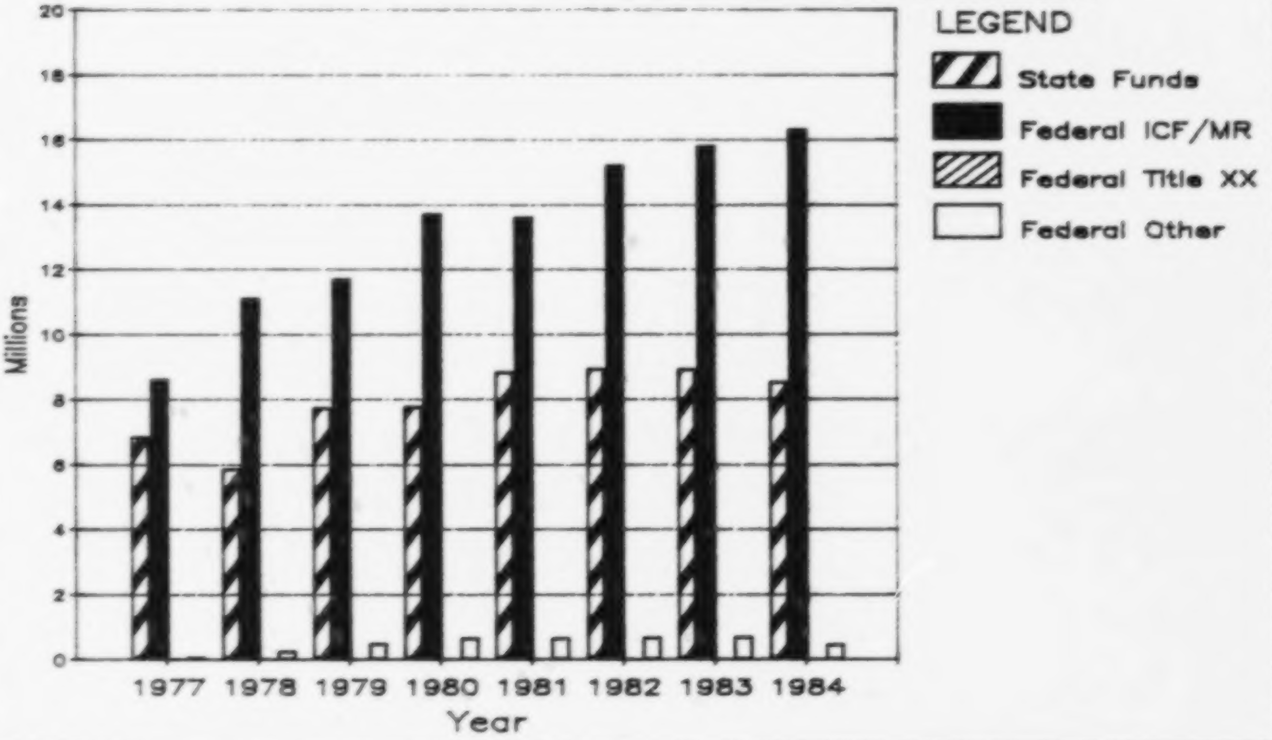
The Total State General Population FY 1977–1984



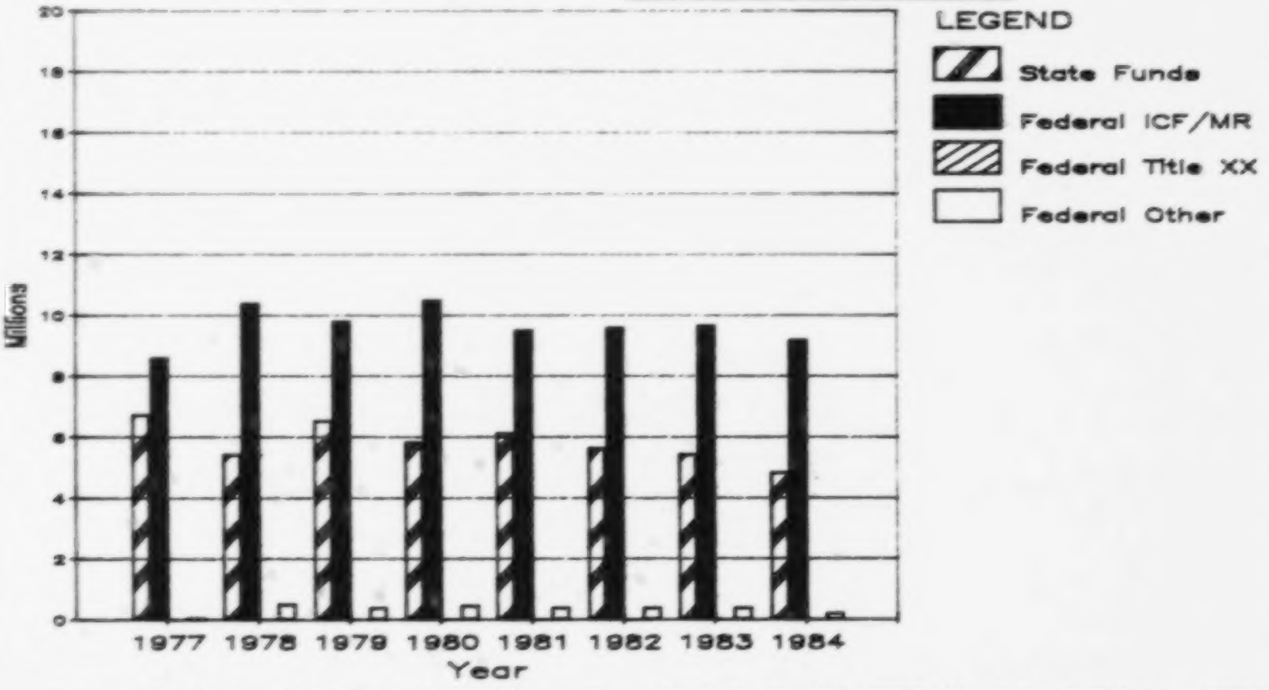
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

KENTUCKY

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



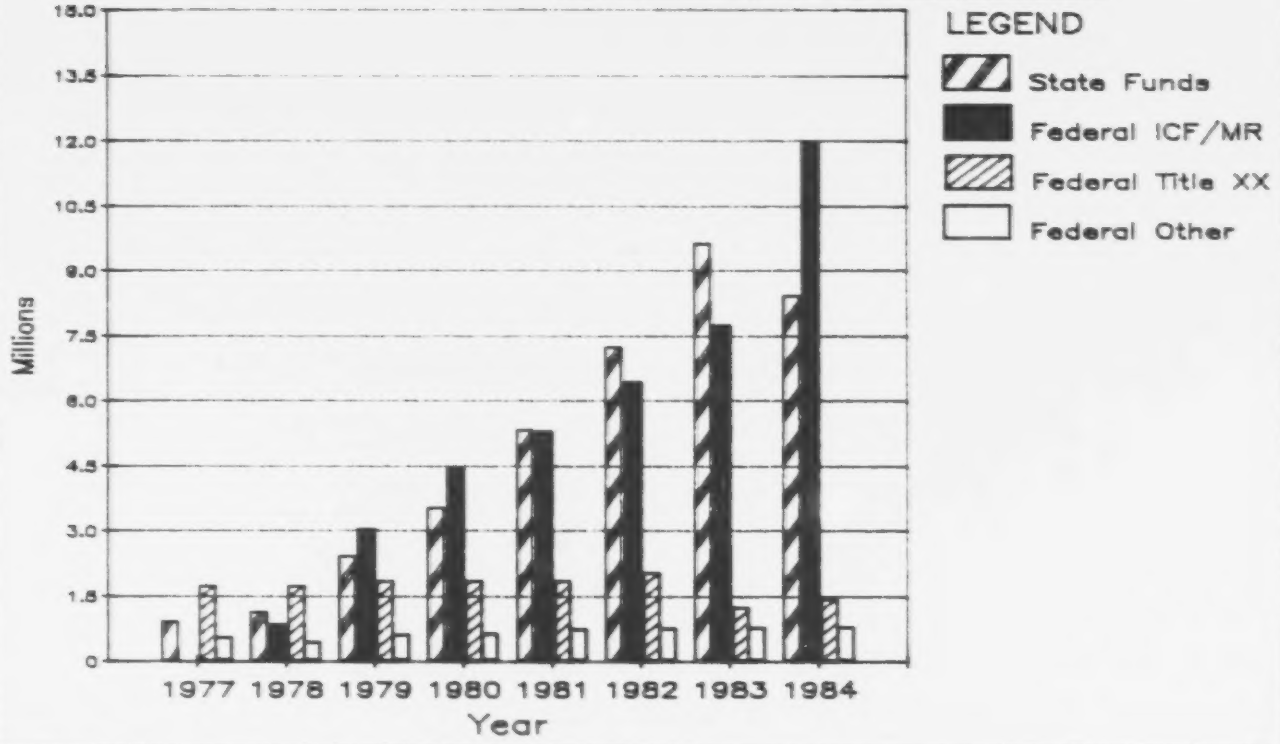
FY 1977–1984, *In 1977 Dollars*



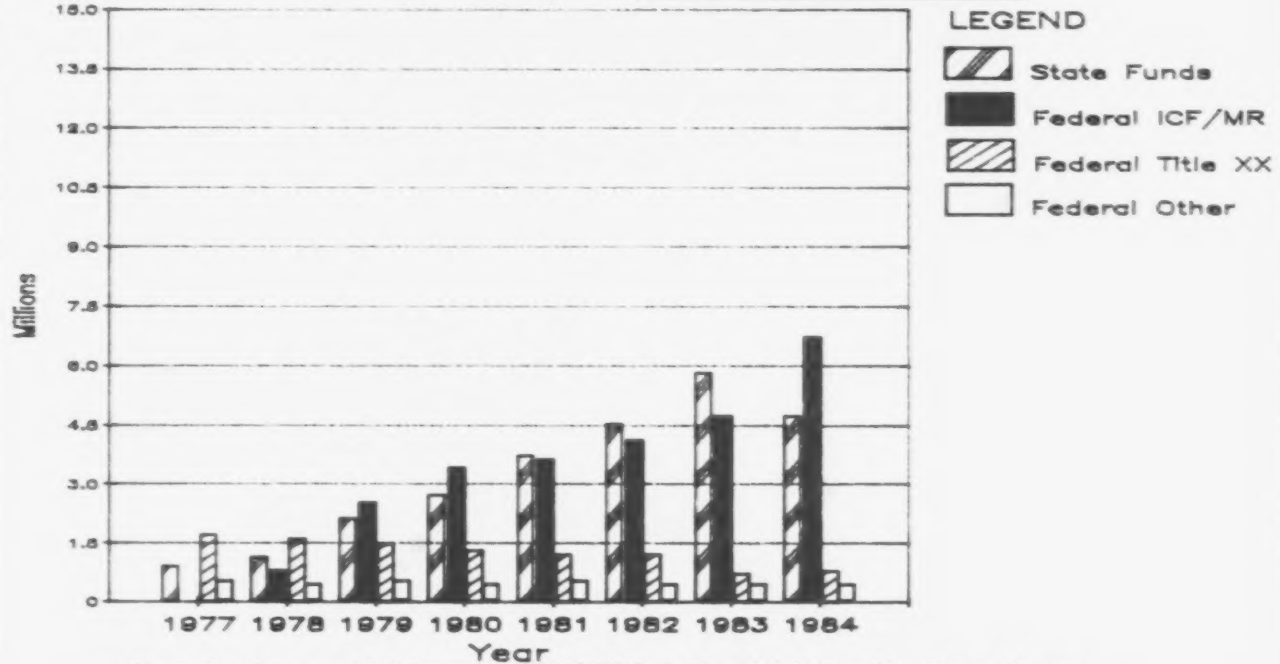
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



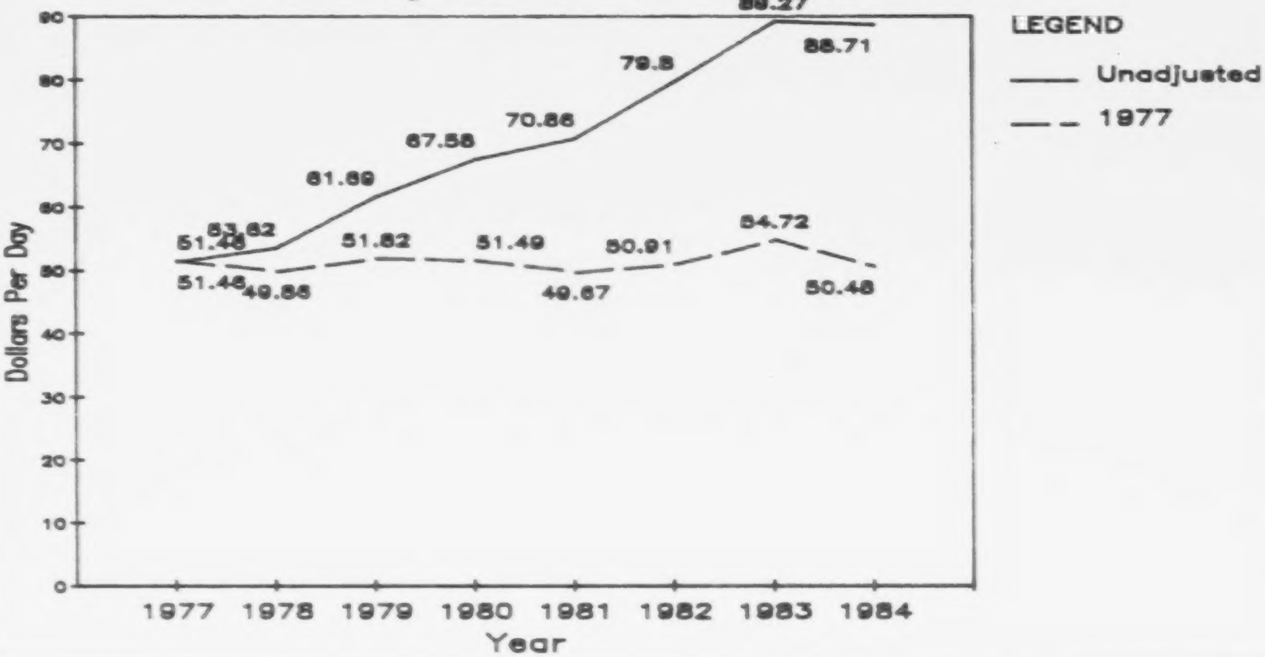
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

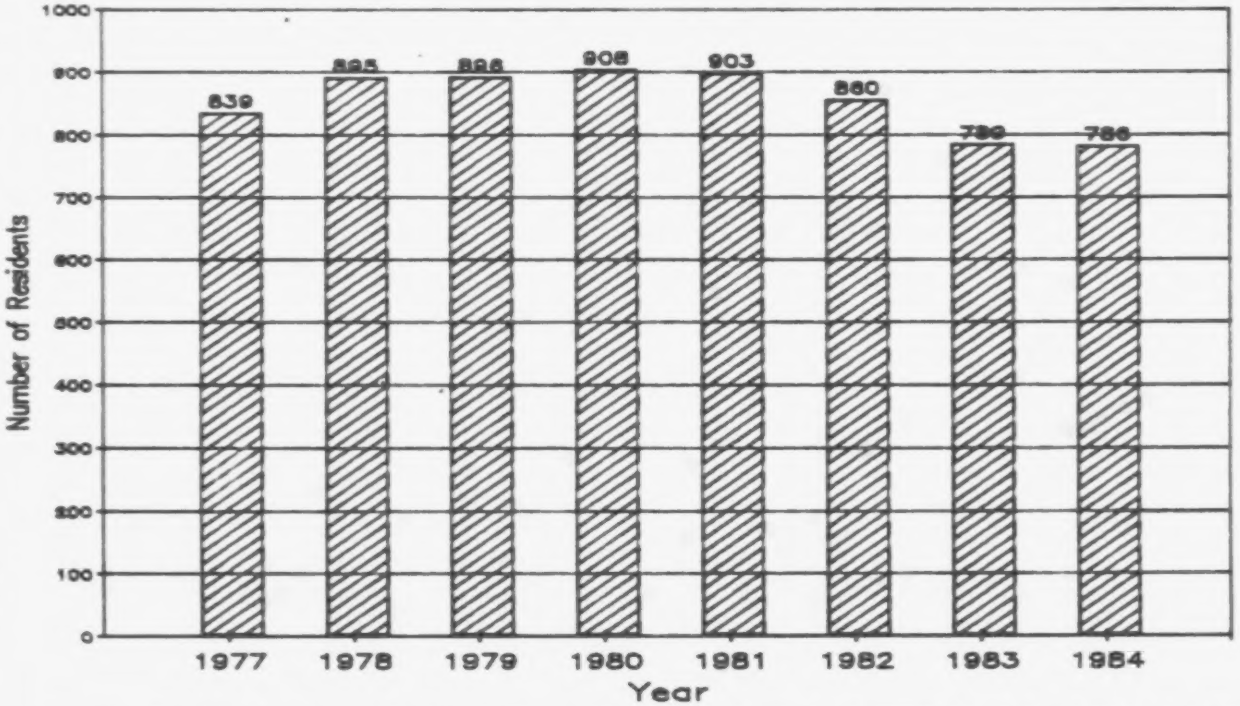
KENTUCKY

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

KENTUCKY

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The DD Program has for many years been located in the Department for Human Resources, Bureau for Health Services. The Director of the Division of Community Services for MR is the state MR Director. There have been a number of reorganizations in the Department over the eight year time span of our study. In FY 1977 and then again in FY `80 and `81, within the Bureau for Health Services, there was a separate MR Services Division. In the interim, FY `78 and `79, MR and MH Services were combined in the budget. Presently (since FY `82) there is a distinct organizational entity, the Division of Community Services for MR, but MH and MR expenditures are combined in the Executive Budget.

2. Budget Format: In the 1976-1978 Biennial Executive Budget, the MR program appeared in the Budget as follows:

   Department for Human Resources

   Bureau for Health Services
   - Prevention and Treatment of MR
     - General Fund
       - Regular Appropriation
       - Special Appropriation
       - Total
     - Agency Receipts
       - Balance Brought Forward
       - Current Receipts
       - Total
     - Federal Funds

   The total expenditures were also displayed by Object Classification (Personnel, Operating, Capital Outlay) and by Subprogram (Prevention, Inpatient Treatment, and Outpatient Treatment).

   In the 1978-`80 period, under the same Bureau for Health Services, and with the same funding source categories, MR is combined with mental health under "Mental Health and Mental Retardation Services."

   In the 1980-`82 Budget, still under Bureau for Health Services, MR has its own separate program, again called "Mental Retardation Services." The institutional and community programs are combined in the funding source breakdowns.

   In the 1982-`84 Budget, MR expenditures are combined with MH again under two programs in the Bureau for Health Services:

   Community MH-MR Services
   Residential MH-MR Services

3. Note on Data Sources: Since the Executive Budget document did not give sufficient funding detail each year, actual expenditure data was obtained from Andrew Jay Dowds, Associate Director, Office for Policy and Management, Finance and Administration Department (letter, 11/30/83). Further clarification of figures was provided by Gerry Snelling, Division of Fiscal Services, Department for Human Resources (telephone interviews, 12/8/83 and 12/9/83).

II. INSTITUTIONAL SERVICES

4. Institutional Services includes funds for four state-run institutions: Hazelwood, Oakwood, Outwood, and the ICF/MR unit at Central State Hospital. The aggregated population at these four facilities over the past eight years is:

Fiscal Year	Average Daily Institutional Census
1977	839
1978	895
1979	896
1980	908
1981	903
1982	860
1983	789
1984	786 (estimate)

(Source: Gerry Snelling, telephone interview, 5/21/84).

5. State General Fund expenditures, as provided by Dowds, include some administrative costs. In accordance with the project's operational definitions, the following amounts representing central administration were deducted from the "General Fund" ($'s in thousands):

`77 - $1,399
`78 - 2,264
`79 - 2,443
`80 - 3,693
`81 - 5,290
`82 - 5,212
`83 - 5,865
`84 - 5,900

6. Other State Funds include the state share of Title XIX and estimates of the third party pay receipts at the state institutions. The private pay amount was estimated by Gerry Snelling to be approximately 4% of the budget category "Agency Receipts."

7. Title XIX appears in the Executive Budget under the heading "Agency Receipts." The amounts reported are gross dollars, including federal and state share. The federal share was calculated using the following federal share matching rates, which were obtained from HCFA and verified by the state.

`77--71.37%
`78 and `79--69.71%
`80 and `81--68.07%
`82 and`83--67.95%
`84--70.72%

8. Other Federal Funds are reported in the Executive Budget under the category "Federal Funds." They include ESEA, Title I/Chapter I; Foster Grandparents; and School Lunch. The FY `84 figure is an estimated amount.

III. COMMUNITY SERVICES

9. Community Services are delivered through the "Comp Care Centers" which are multi-county MH/MR quasi-public service agencies. Funding source detail also was provided by Gerry Snelling (see Note 3).

10. Title XIX. Medicaid Waiver funds appear in the FY `84 Budget. Prior to that time, there were no state-run community ICF/MRs. The waivered services are being delivered by the Comp Care Centers.

11. Title XX. Federal Title XX funds are included in the "Federal Funds" budget category in the State Budget. Exact figures were provided by Jay Dowds (letter of 11/30/83). The state matching dollars are included in the State General Fund line.

12. Other Federal Funds are DD Council (DDSA) funds.

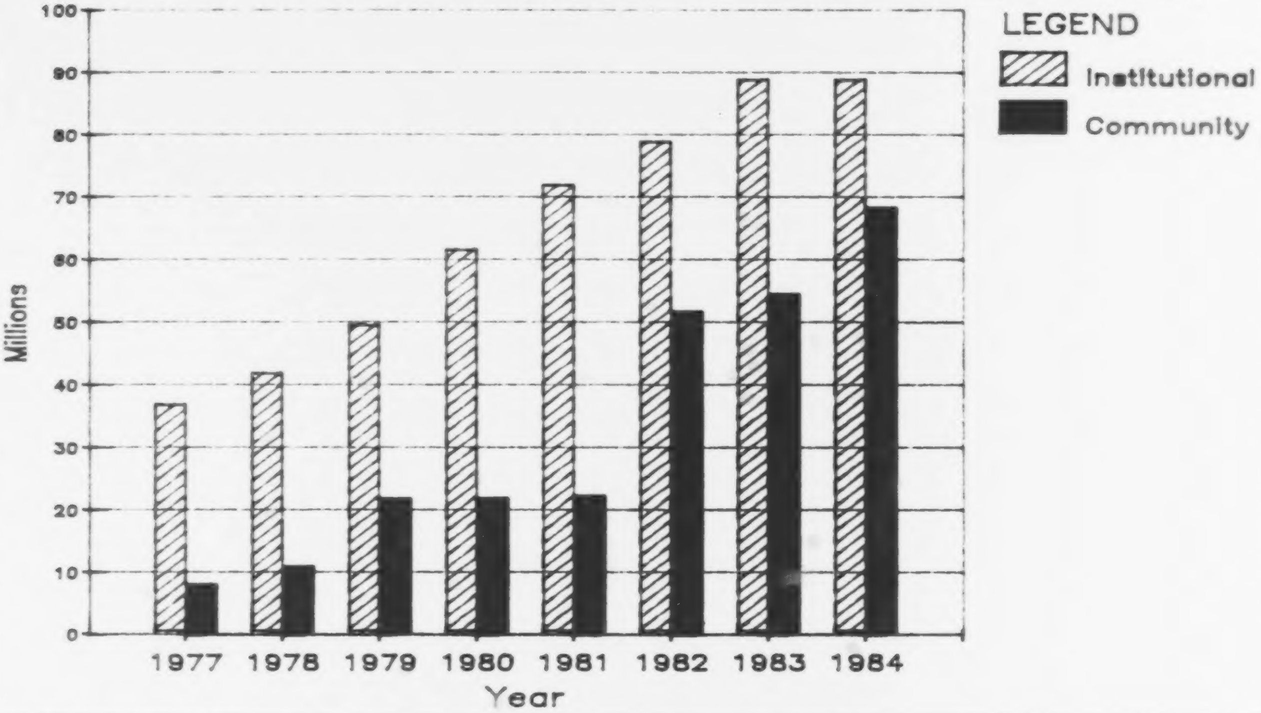
10. <u>Private ICF/MR</u>: Figures were provided by Gerry Snelling (telephone interviews, 12/9/83 and 12/12/83). There are five private ICF/MRs. The expenditures are carried in the budget of the Bureau of Social Insurance. The figures provided by the Bureau were taken from cost reports. They included private pay and Medicare in addition to Title XIX funds. The Bureau recommended subtracting 4% from each year's expenditure figure to approximate the third party pay and Medicare costs, which was done for this analysis. Below are listed the private pay estimates excluded each year from the analysis ($'s in thousands).

FY	Private Pay Estimate 4%
78	$ 58
79	184
80	278
81	328
82	398
83	481
84	582

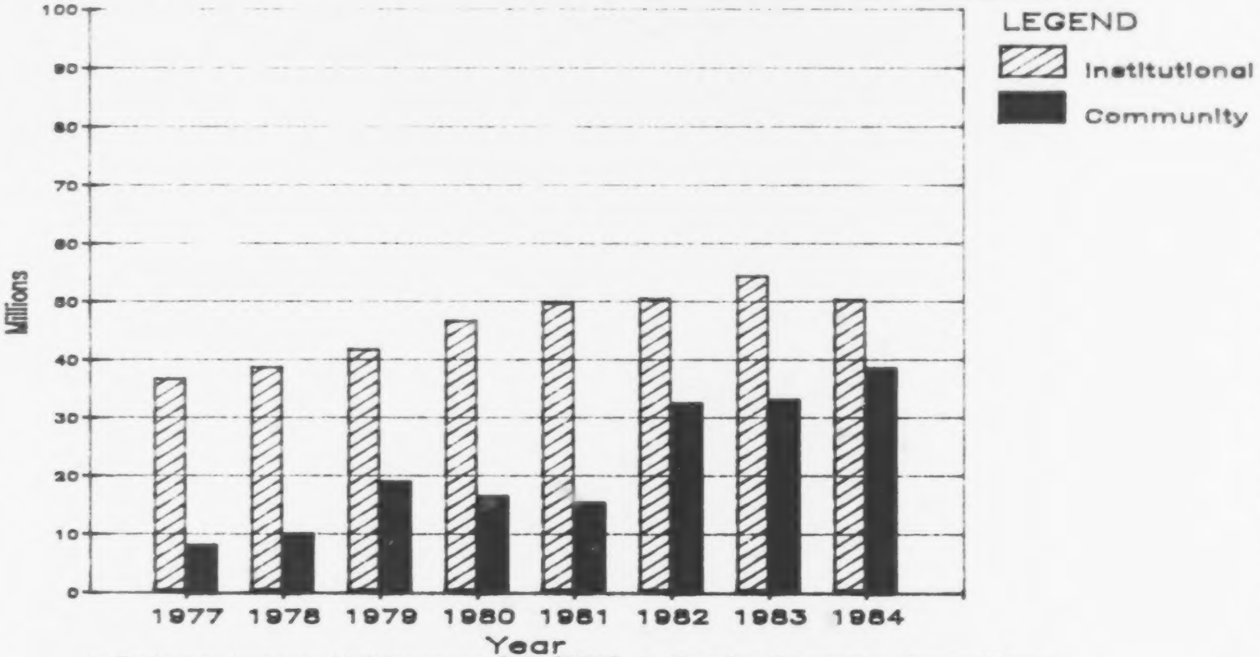
FY `83 and `84 Private ICF/MR expenditure figures are estimates, applying the same percentage increase as occurred between 1981 and 1982 to estimate the FY `83 and `84 amounts.

LOUISIANA
STATE PROFILE

LOUISIANA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

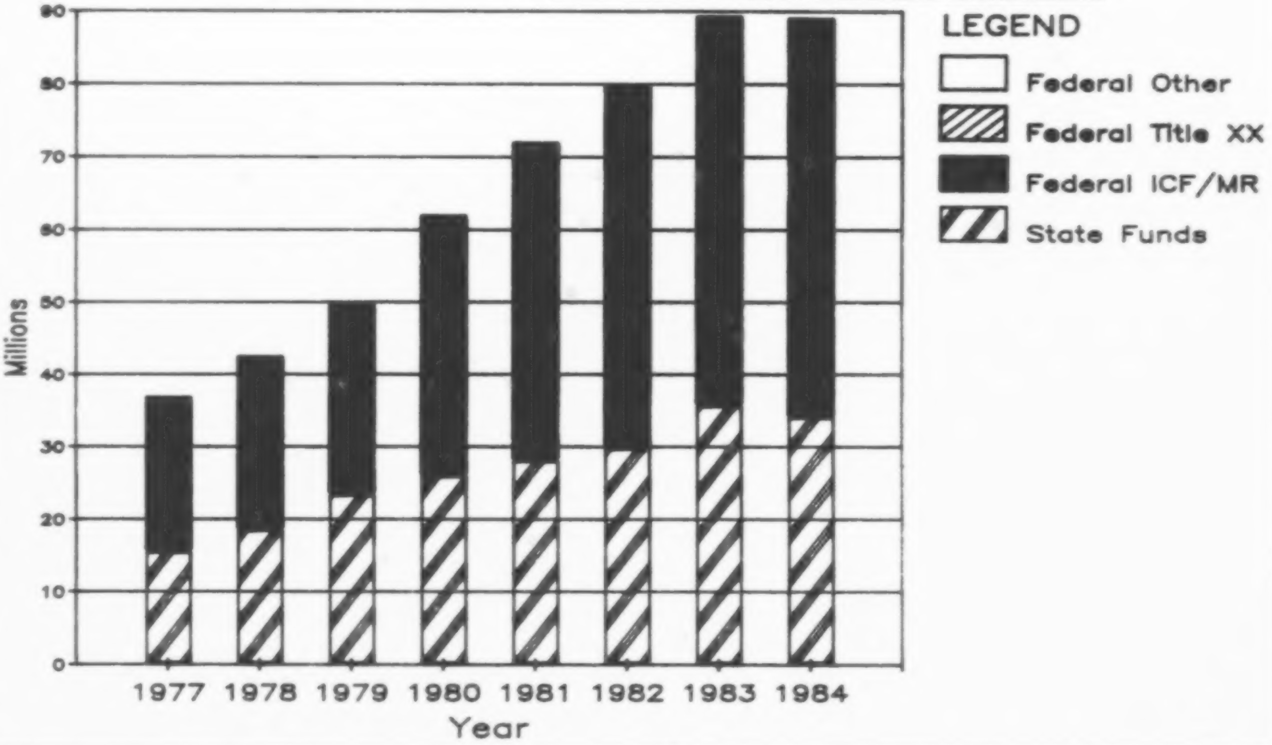


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

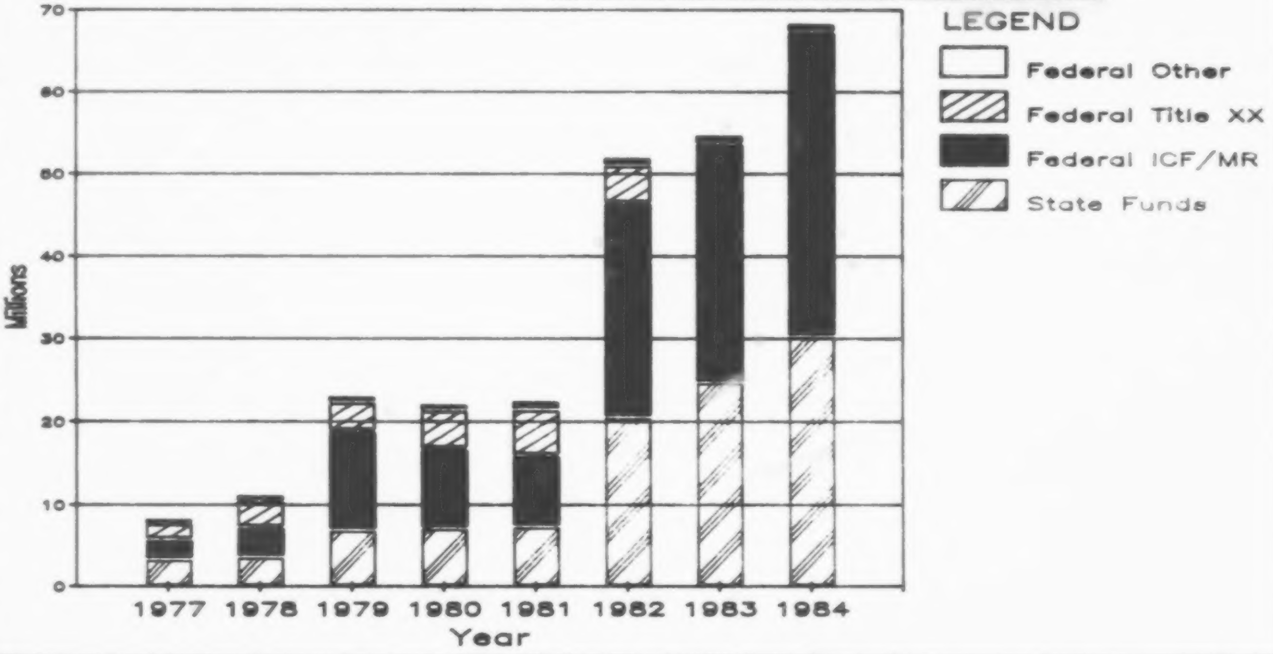
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



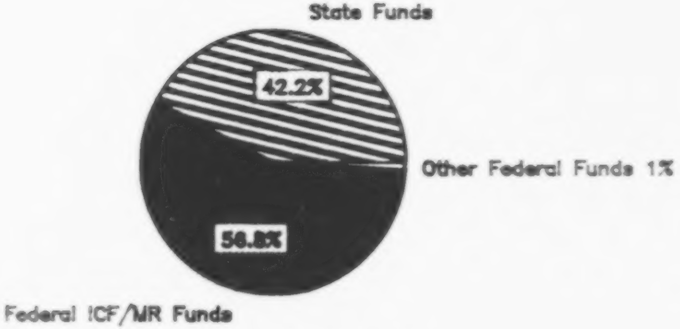
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



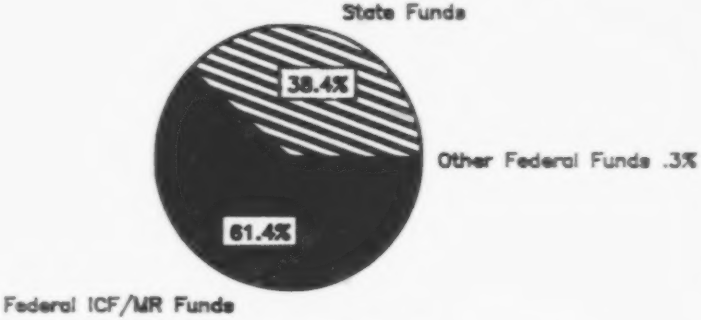
LOUISIANA

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

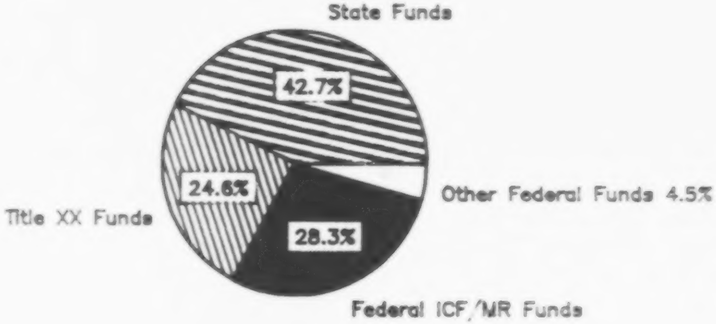
FY 1977 & 1984



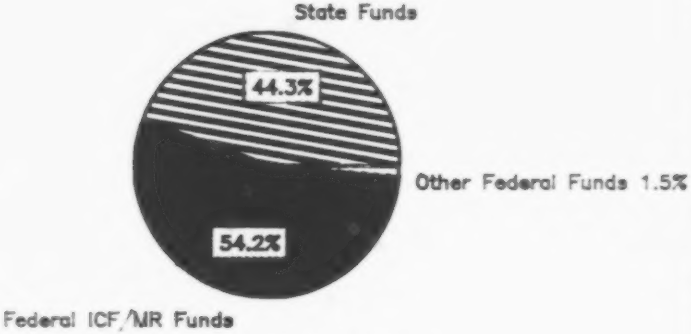
Institutional 1977: $37 Million



Institutional 1984: $89 Million



Community 1977: $8.4 Million



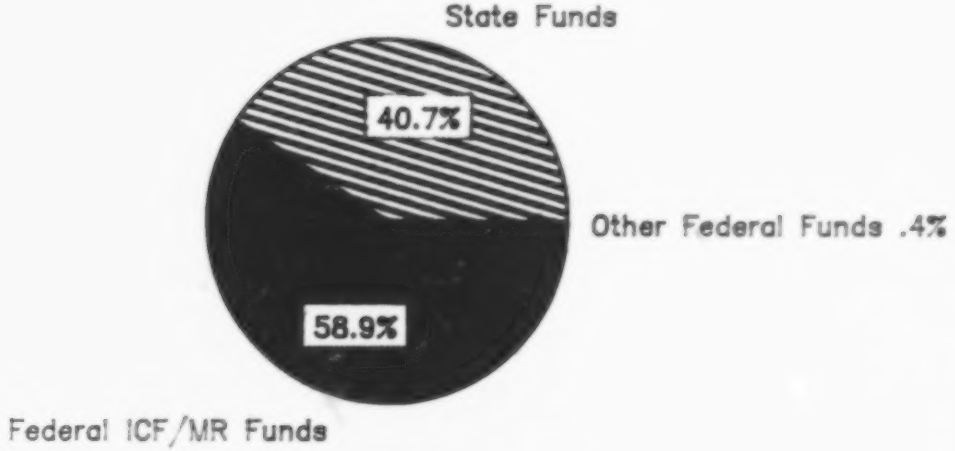
Community 1984: $69 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

LOUISIANA

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977--1984

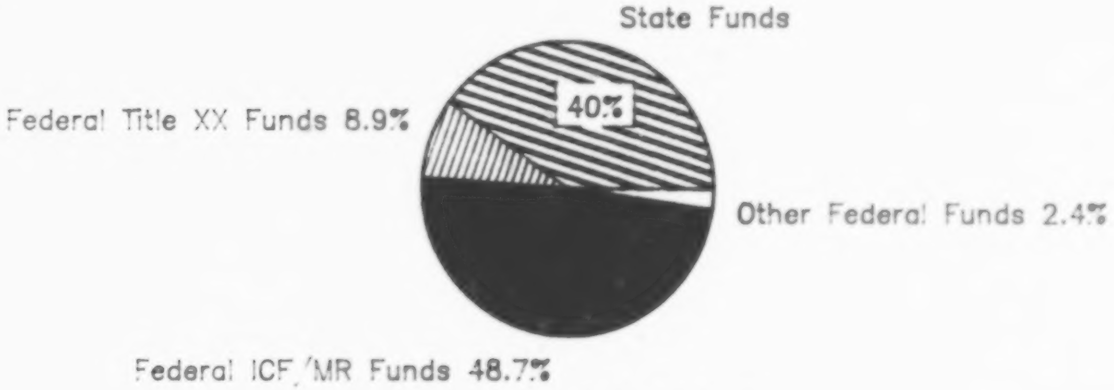
Institutional Services Funds



Institutional Total: $520 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

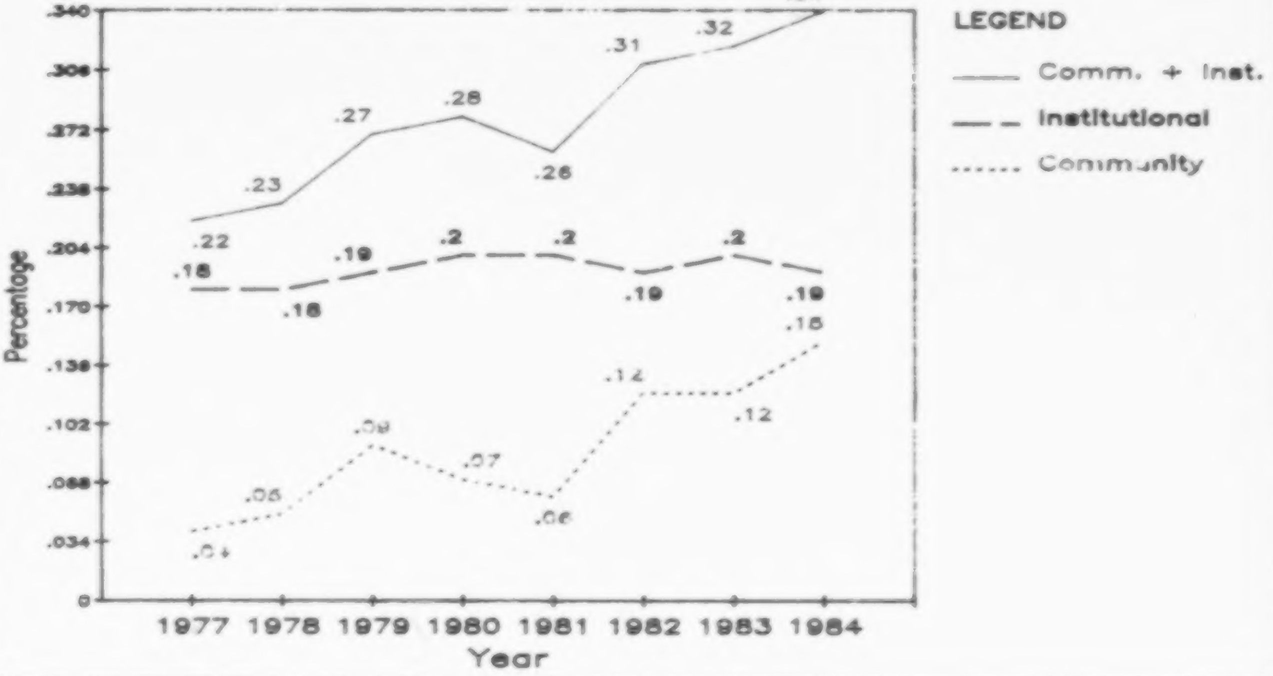


Community Total: $263 Million

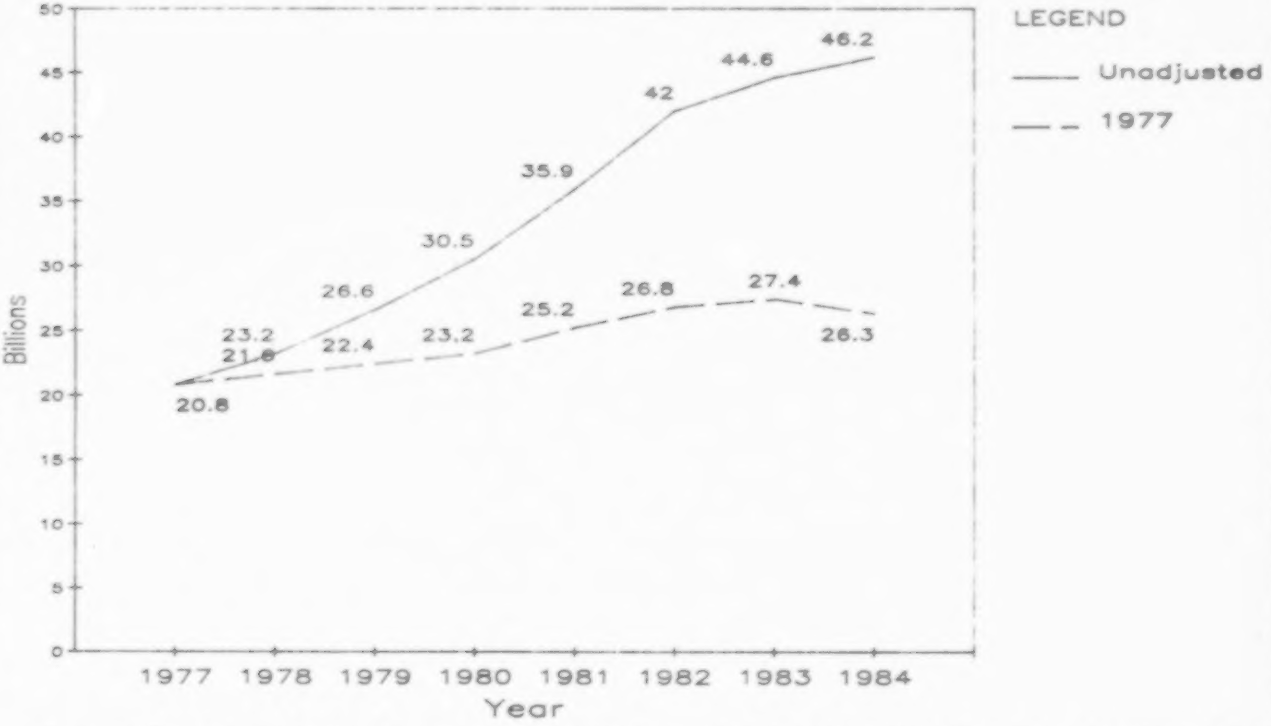
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



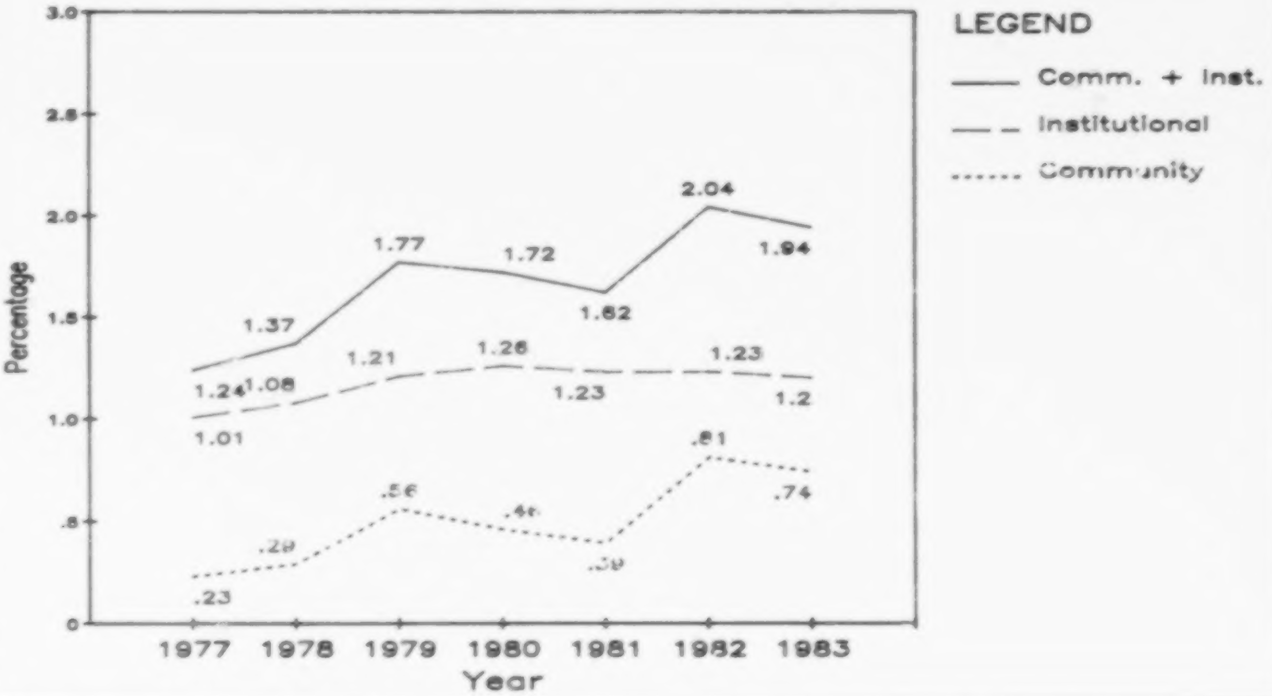
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



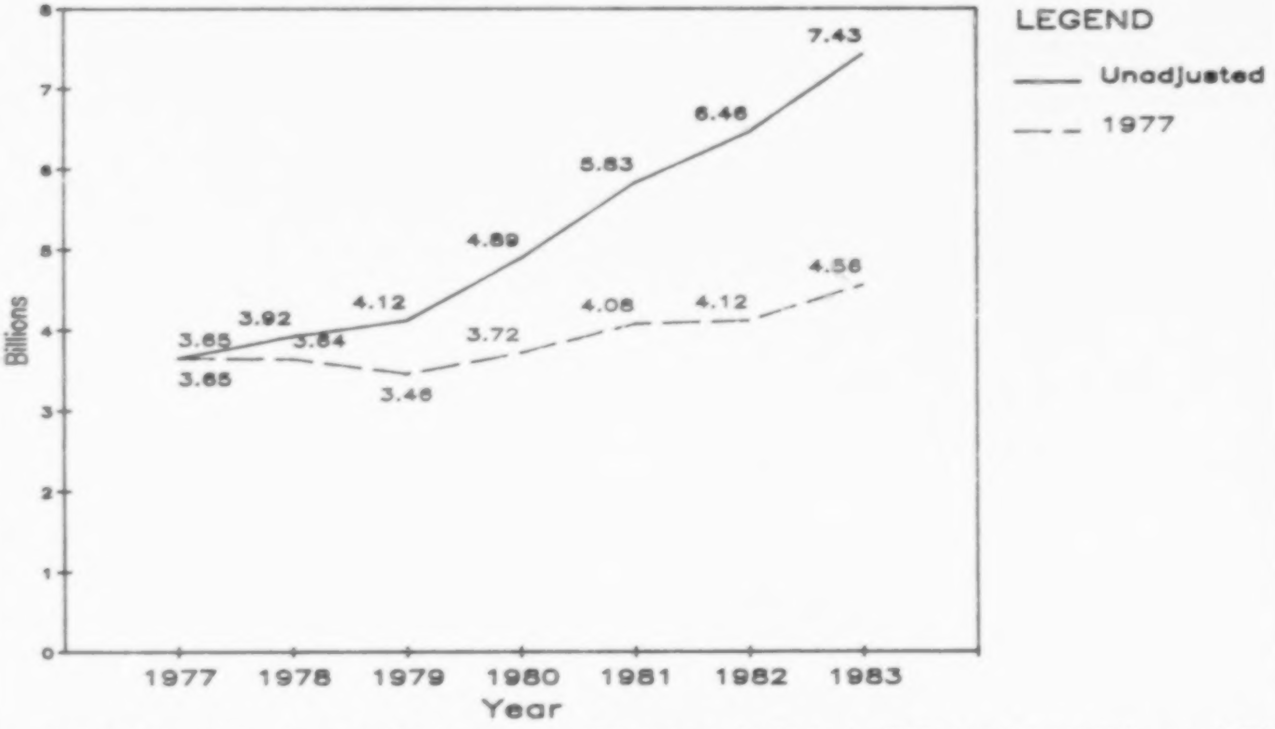
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



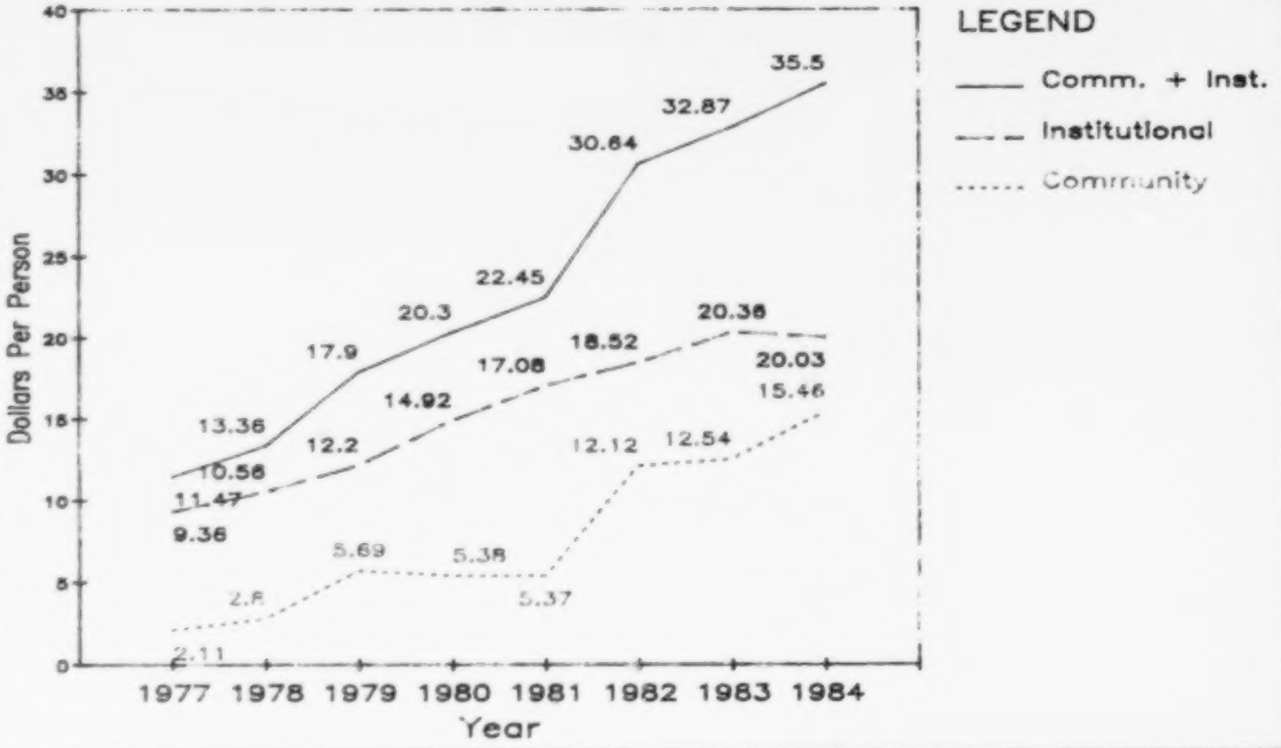
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



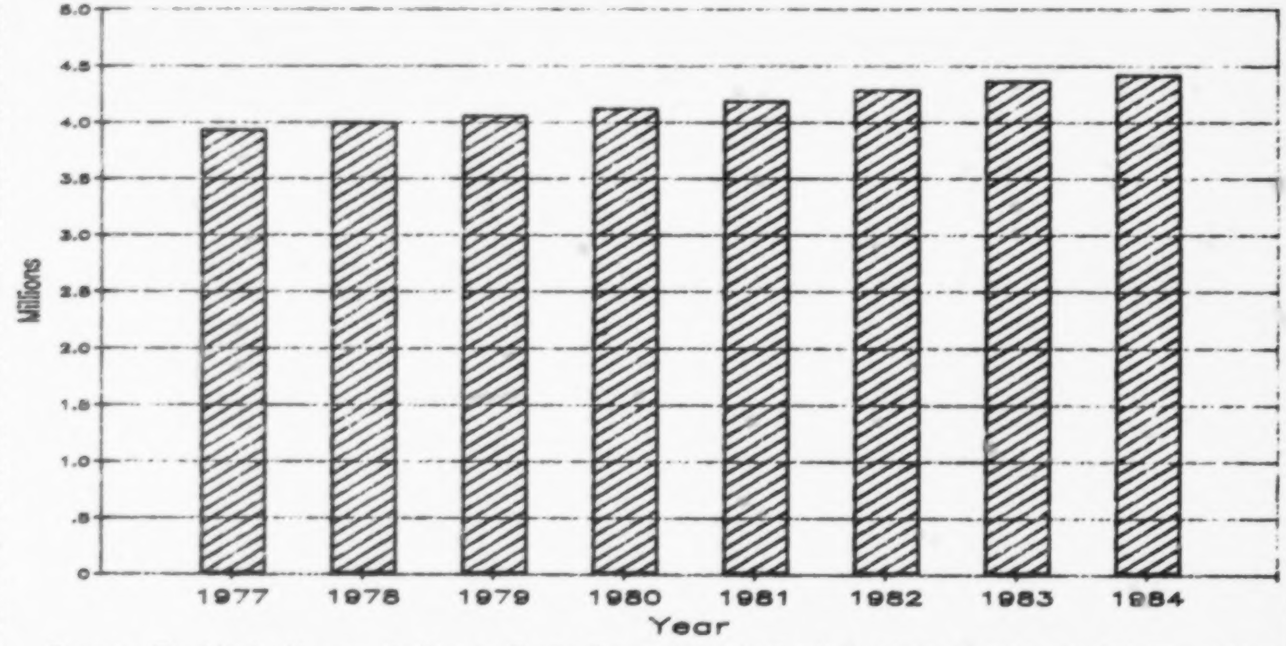
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

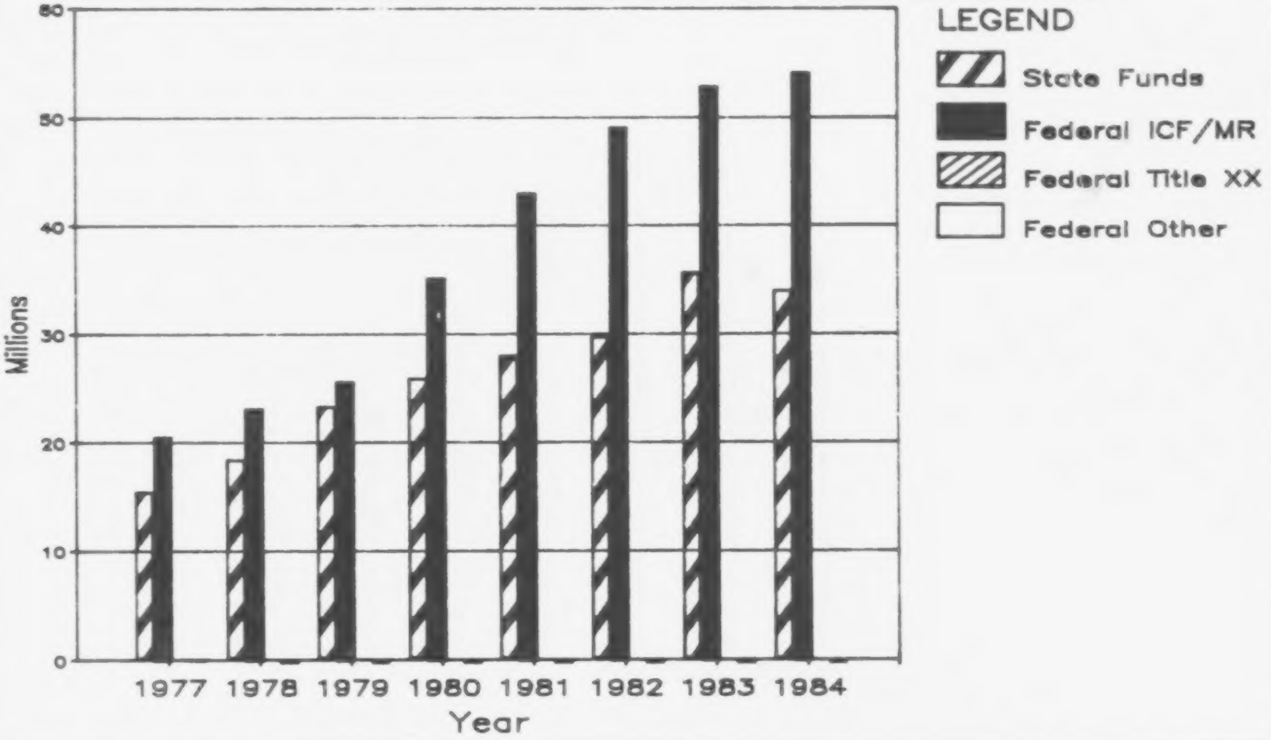


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

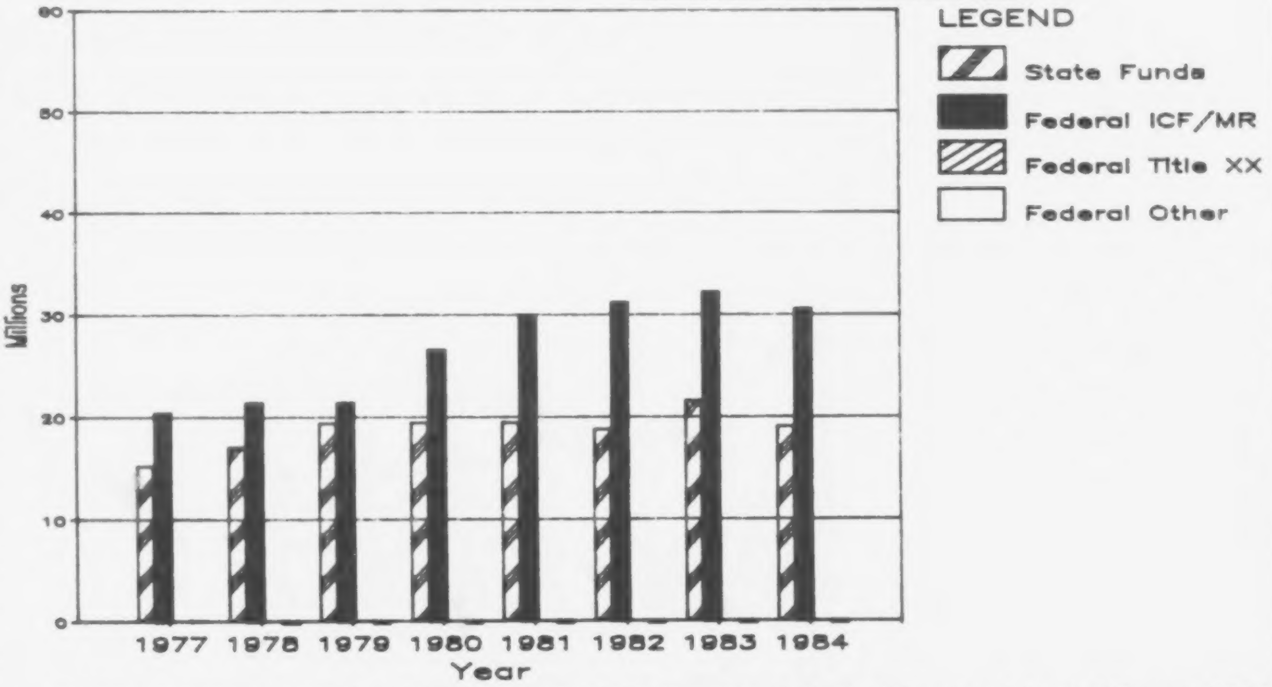
LOUISIANA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

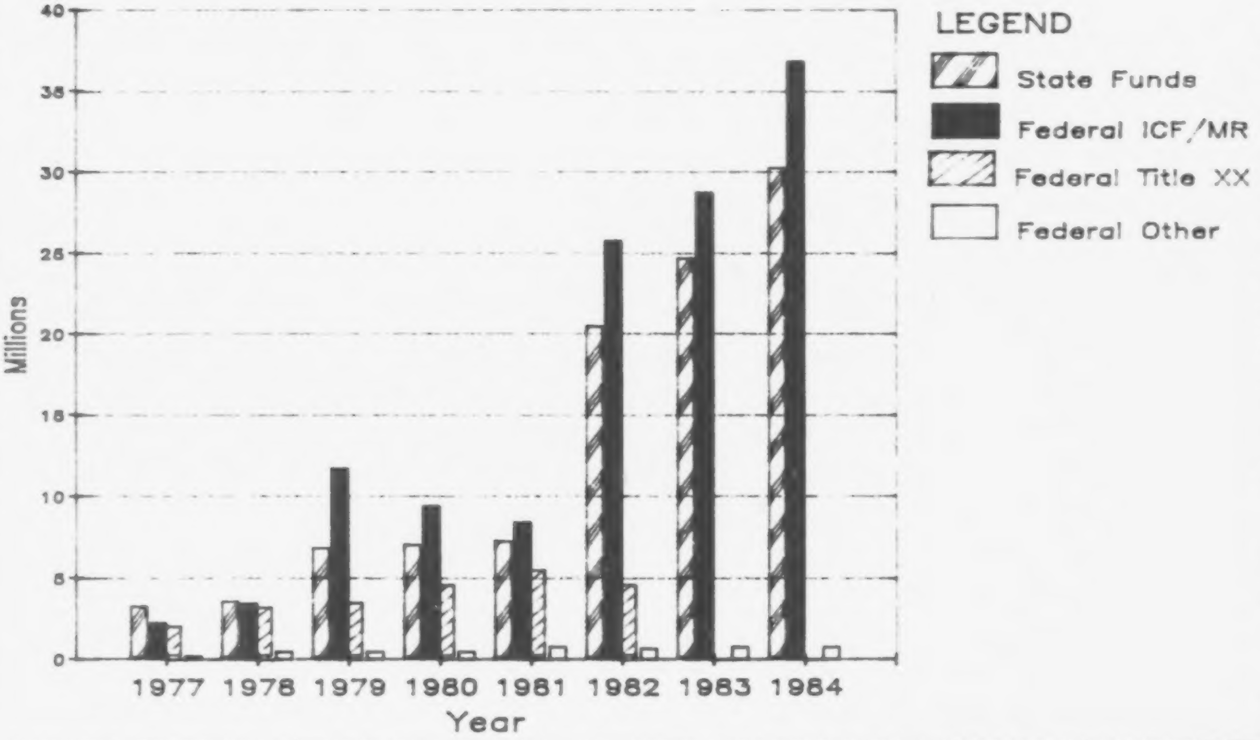


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

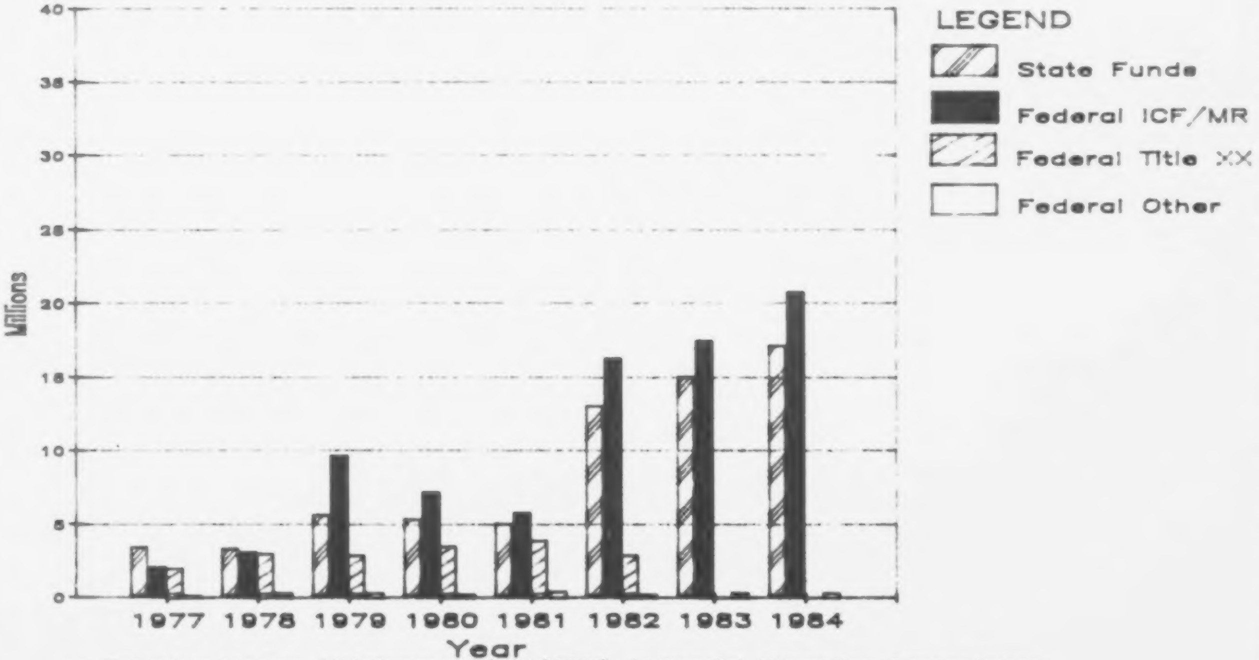
LOUISIANA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



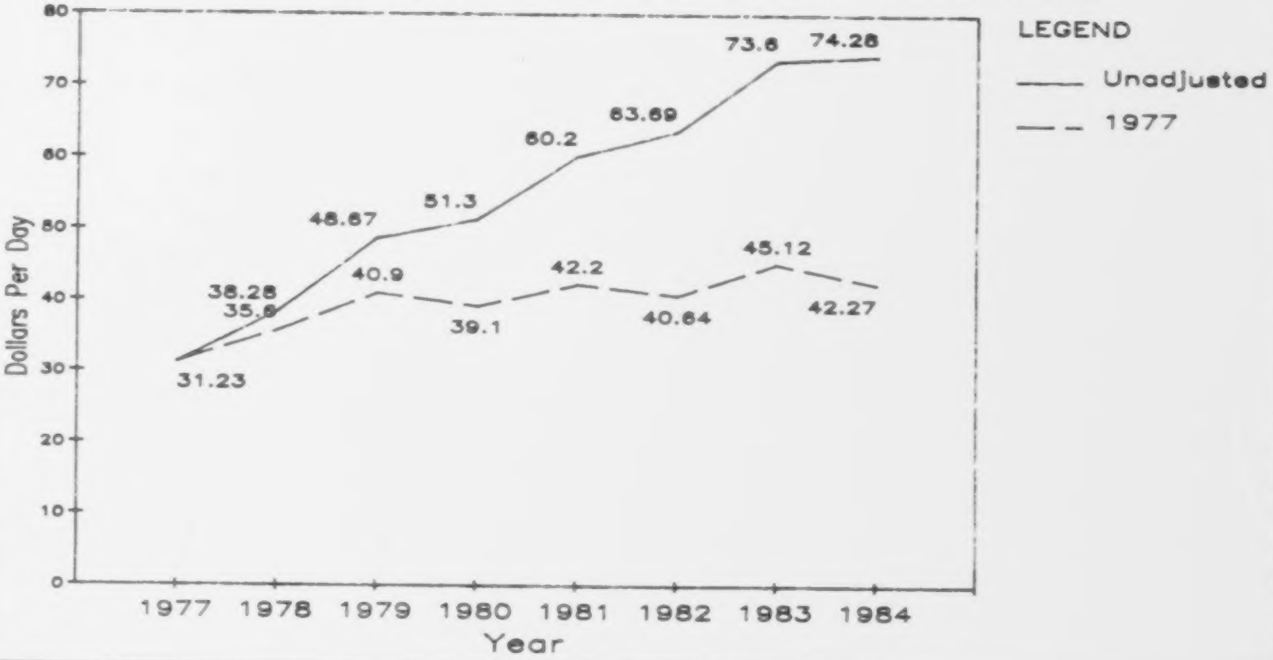
FY 1977–1984, *In 1977 Dollars*



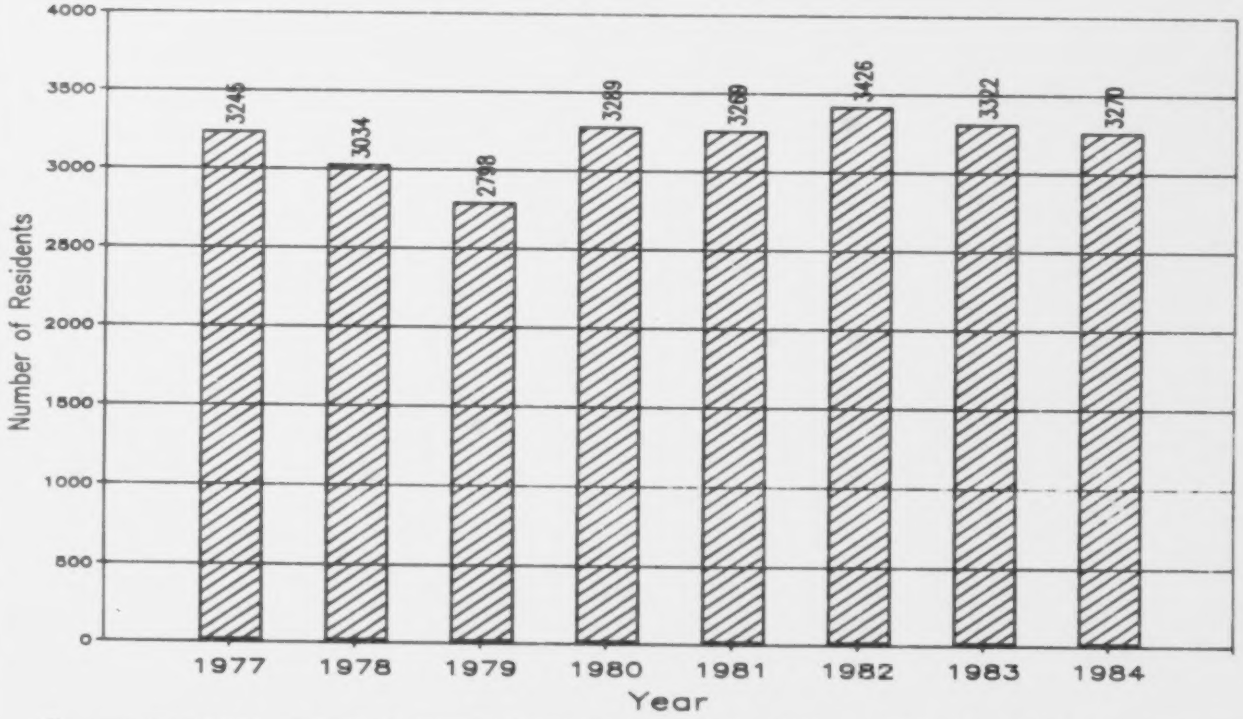
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

LOUISIANA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: MR/DD agency services in the State of Louisiana are delivered through the Office of Mental Retardation and Developmental Disabilities (OMRDD), which is within the Cabinet-level Department of Human Resources. There are nine state "schools".

2. Budget Format: The published executive budgets of the OMRDD present expenditures in the following format:

Office of MR/DD

- Administration
  - State General (Direct)
  - Interagency Transfers
  - Federal Funds
  - Fees and S G Revenue
  - Excess (Deficit) Financing
  - Capital Outlay
- State School Budget (nine facilities budgeted separately
  - State General (Direct)
  - Interagency Transfers
  - Fees and S G Revenue

In the above format, "Interagency Transfer" referred to Federal share Title XIX funds.

II. INSTITUTIONAL SERVICES

3. Institutional Services expenditures were determined by summing the individual totals of Louisiana's nine state MR institutions (termed "State Schools"): Belle Chase, Columbia, Hammond, Leeville, Northwest Louisiana, Pinecrest, Ruston, Southwest, and Thibodaux. Then, community services activities funded out of the institutional budgets were subtracted. This amounted to $3,154,000, as provided by the Louisiana OMRDD (telephone interview, Linda Brasette, Executive Assistant to the Director, OMRDD, 9/30/83). Capital Funds were also excluded. Certain administrative costs which can be allocated as indirect cost charges in the budgets of the nine state schools for support of the umbrella agency (Department of Health and Human Resources) are included; but these constitute a very small fraction of the total state school budget (approximately 2%). Administrative costs to specifically operate the administrative component of the Office of Mental Retardation and Developmental Disabilities were excluded. (In the "Administration" lines of the budget for FY 1984, this sum amounts to approximately $2,000,000.)

The aggregated end of fiscal year population at the nine state schools has been:

1977 - 3,245
1978 - 3,034
1979 - 2,798
1980 - 3,289

1981 - 3,269
1982 - 3,426
1983 - 3,322
1984 - 3,270

(1977 and `78 figures from the Executive Budget. 1979-`84 from Margarite Thompson, OMRDD Administration Office, telephone interview, 7/19/84.)

4. State General Fund: The item titled "Fees-SG Revenue" in the budget was considered part of State General Fund Expenditures. The Other State Funds category includes the state Medicaid Title XIX matching share transferred from the Medical Services Program elsewhere in Louisiana's Department of Health and Human Resources. A minor line item termed "Excess Financing (Deficit)" has not been included in the analysis.

III. COMMUNITY SERVICES

5. Community Services consist of two components: (1) monies budgeted as part of the budget category titled "Administration," most of which is actually purchase-of-care community contract funding; and (2) state school funding for residential and day services sponsored by the MR institutions in the surrounding communities. Community services budget figures in state schools' budget lines and in the "Administration" budget category are taken from Agency records and were obtained from the Executive Officer, Office of Mental Retardation and DD, Louisiana Department of Health and Human Resources (personal communication, 9/30/83). Louisiana has, for the past three years, been making a concerted fiscal and programmatic effort to facilitate the development of community services through the budgets of the state institutions.

6. State General Funds. In FY 1983, Louisiana began funding group homes with GRF funds through the state school budgets in expectation of future reimbursement under Title XIX. The analysis treats these group homes as state GRF supported.

7. Other State Funds. For FY 1977-`82, Title XX funds were used to finance community services and the figure contained in the Other State Funds category during this period is the state matching share (25%). In FY 1983, Title XX MR funding was terminated and community services funding was converted to Title XIX. Louisiana's Medicaid Community Care Waiver was approved in April, 1983, and the state began billing HCFA for reimbursement in April, 1983. Therefore, in FY 1983 and 1984, the Other State Funds category also includes estimated state matching funds under the Title XIX-ICF/MR program. In FY `84, there is a special non-recurring item which is excluded from this analysis: "International Special Olympics."

8. Private ICF/MR data are estimated and were obtained from the following sources/methods. FY 1977-1980 data on total ICF/MR funding in Louisiana was obtained from HCFA and verified through contact with the Louisiana Department of Public Welfare, Office of Family Security (Pam Kirkman, telephone interview, 10/5/81). To determine the private ICF/MR share of these total ICF/MR expenditures, the portion of ICF/MR funds allocated to state-run institutional facilities was subtracted from it, leaving the private ICF/MR net balance. Then, the Medicaid matching rate percentages supplied by HCFA for the FY 1977-1980 period were applied to the net private ICF/MR expenditures. This step determined the composite federal-state funding shares.

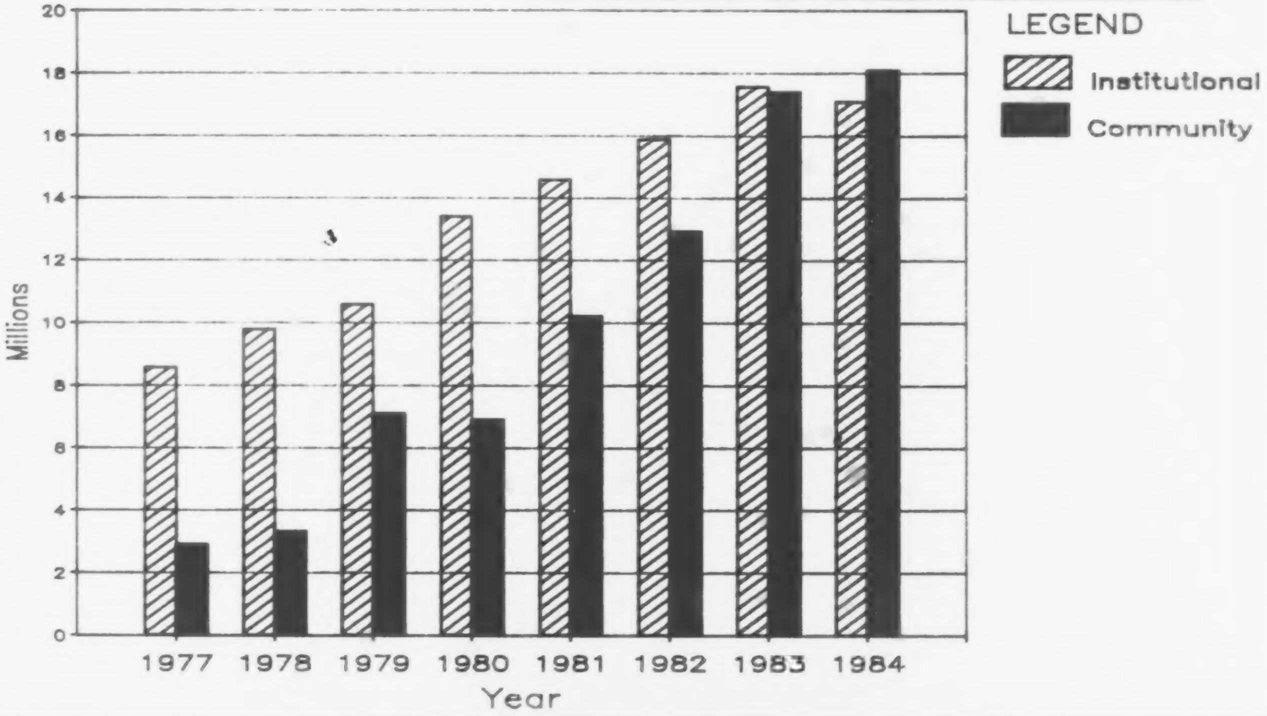
   Data for FY 1980-`1981 were obtained in a different manner. Through telephone contact with the DPW, Office of Family Security (Pam Kirkman), we obtained the state's revised ICF/MR figures supplied by HCFA, (we therefore felt confident of the HCFA numbers prior to FY 1980).

   For FY 1982, DPW/OFS (Pam Kirkman, 10/3/83; 10/5/83, telephone follow-up), supplied us with a revised total ICF/MR reimbursement level and, as above, we netted out the state-operated institutional share. This left the private ICF/MR total state figure and again we applied the Medicaid matching rates to it to determine the state and federal components.

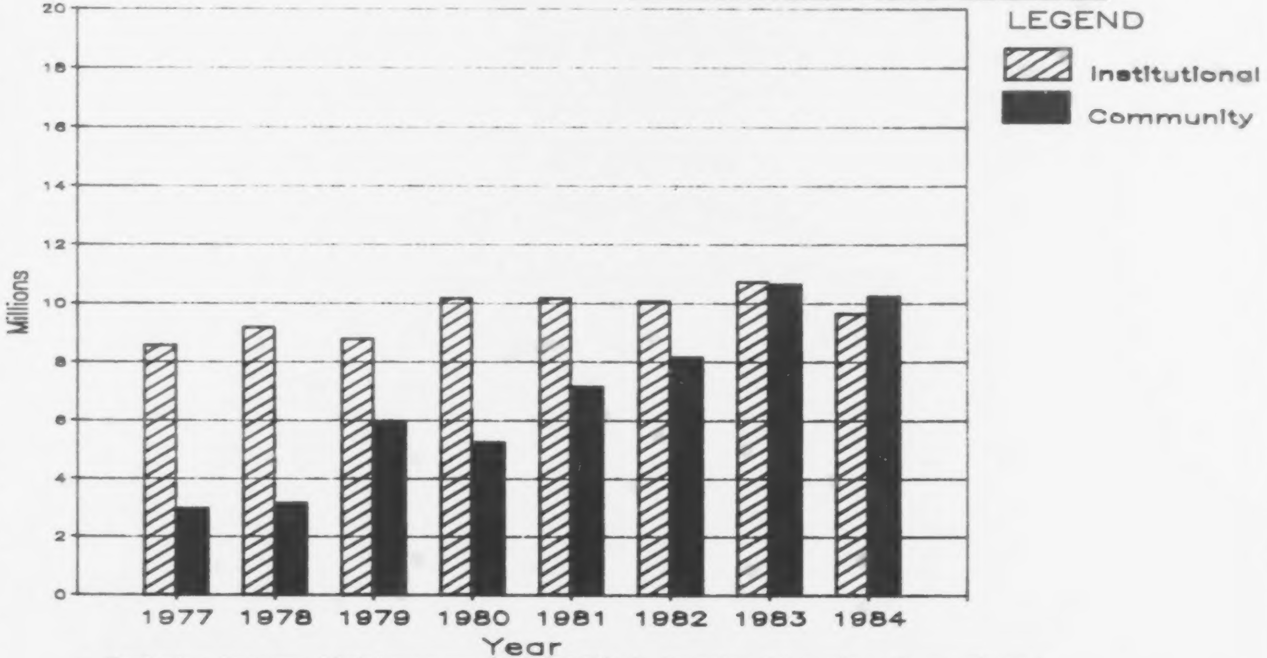
   For FY 1983 and FY 1984, Ms. Kirkman supplied the revised total federal/state private ICF/MR reimbursement projection. The HCFA matching formula was then applied to it to arrive at the federal and state share.

MAINE
STATE PROFILE

MAINE
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

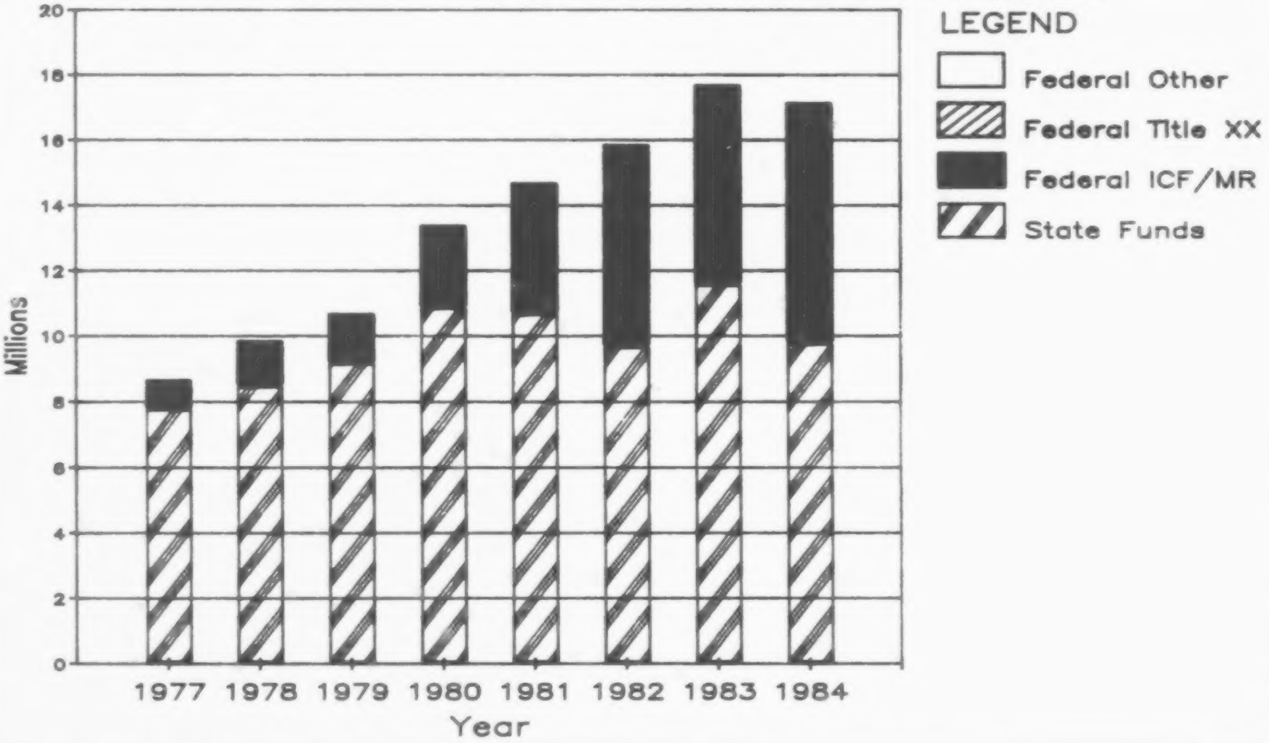


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

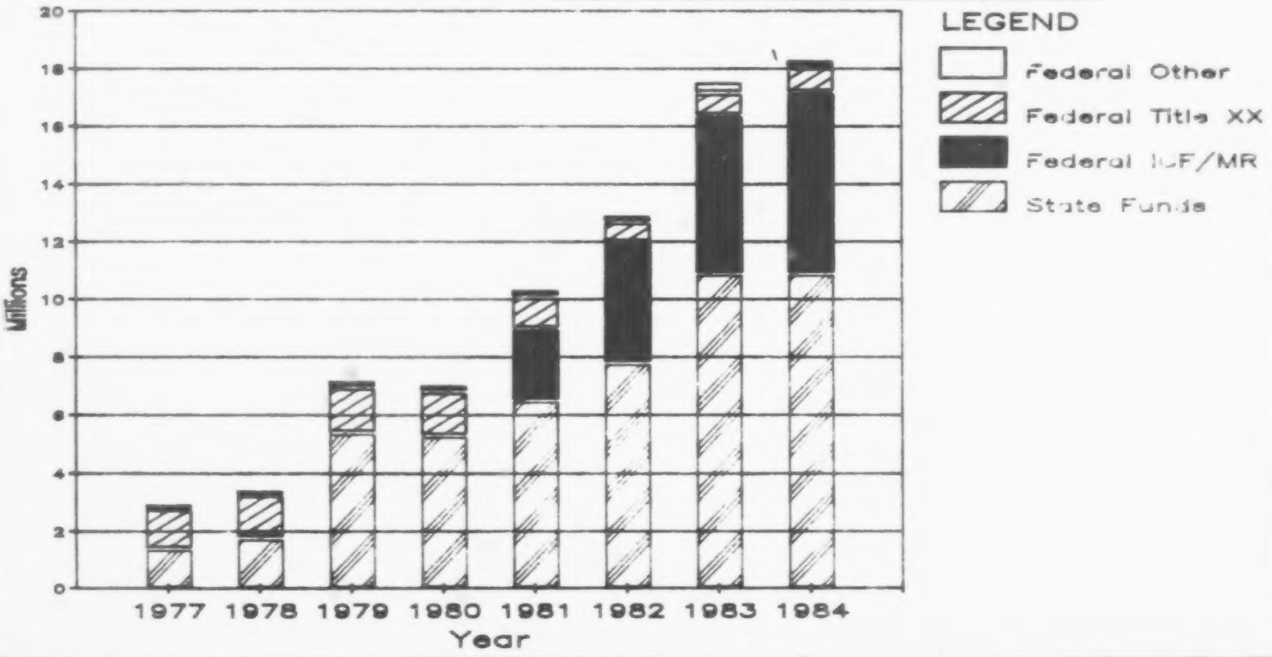
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MAINE

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***

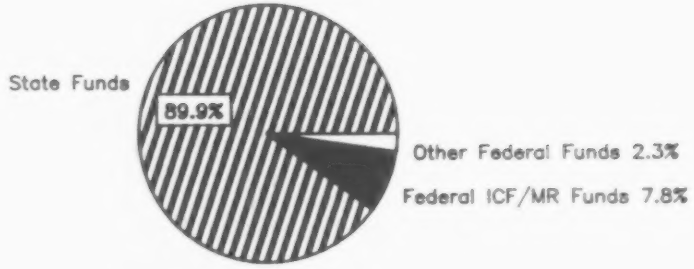


MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***

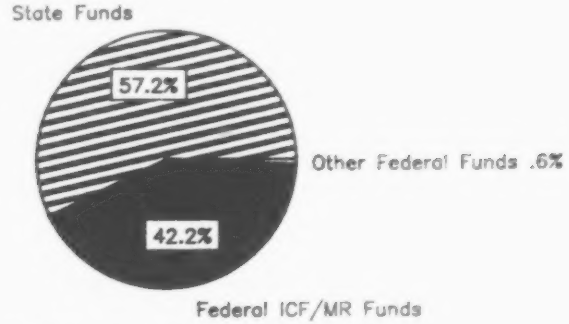


MAINE

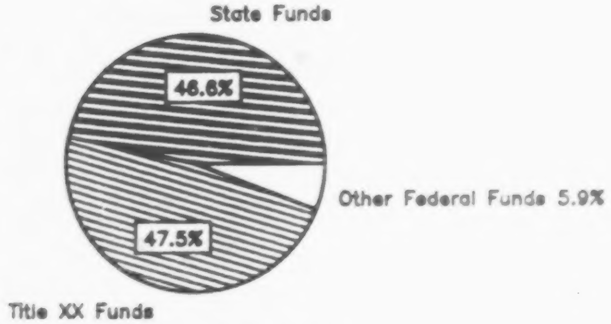
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



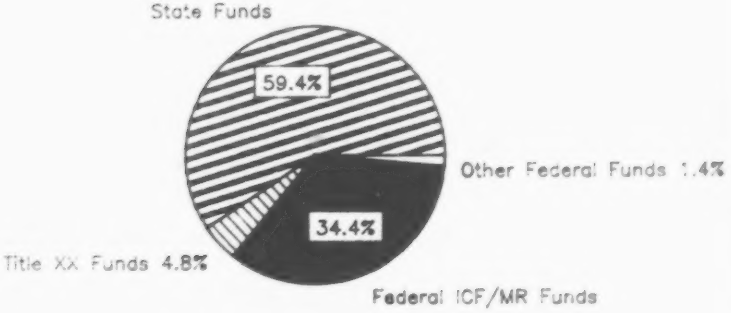
Institutional 1977: $8.7 Million



Institutional 1984: $17.2 Million



Community 1977: $3 Million

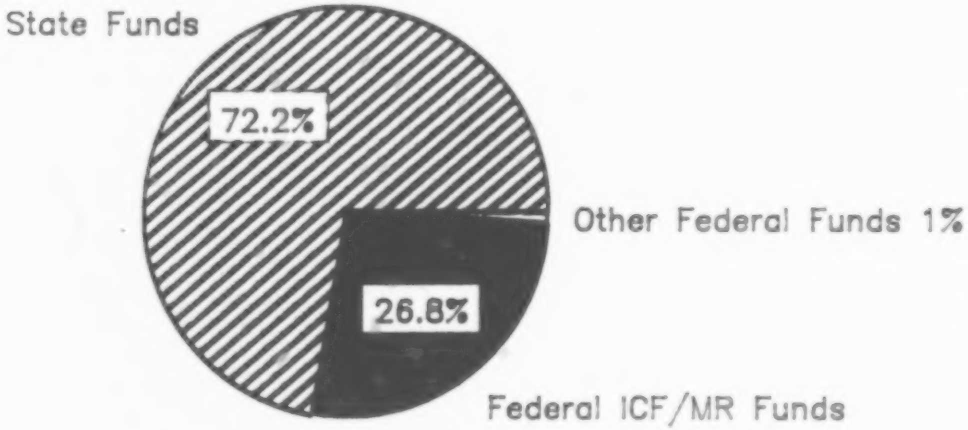


Community 1984: $18.2 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo. 1984

MAINE
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

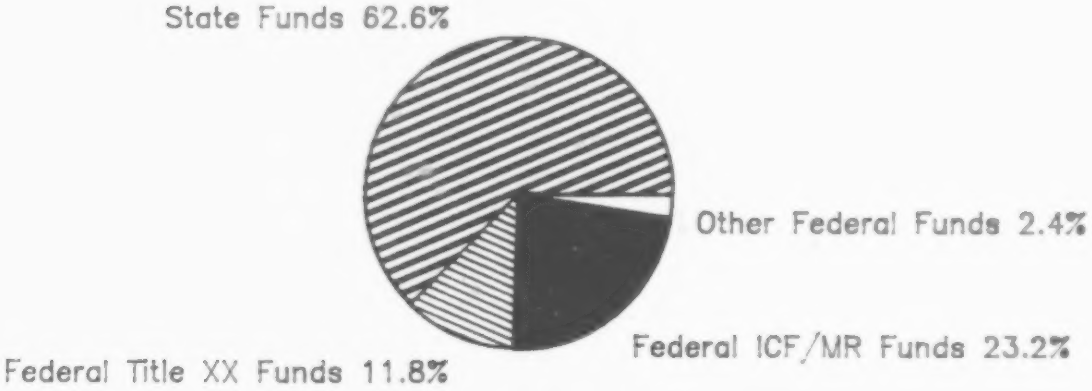
Institutional Services Funds



Total Institutional Funds: $108 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

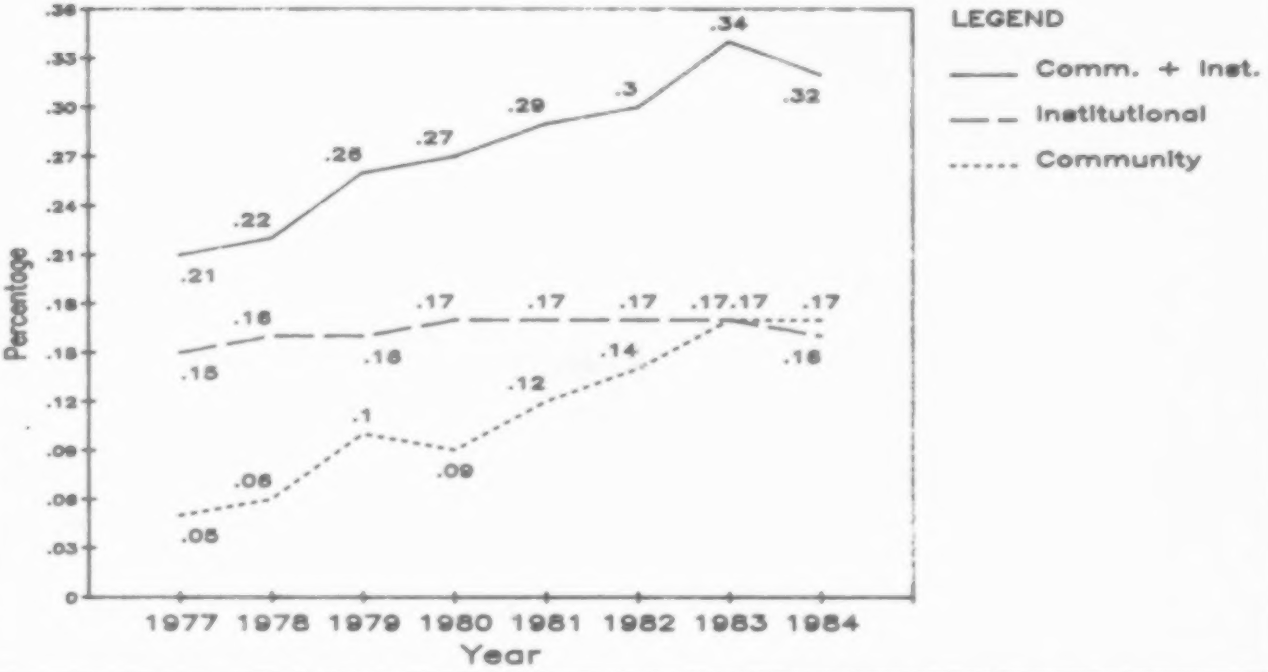


Total Community Funds: $80 Million

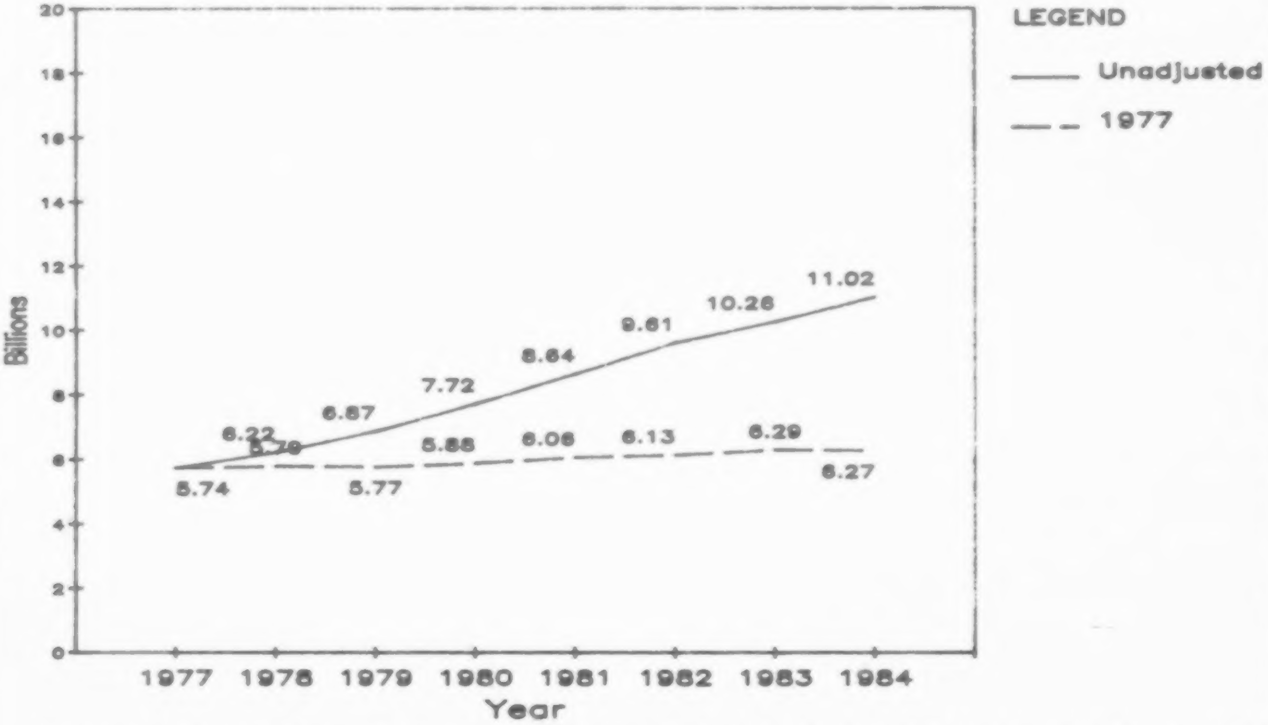
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MAINE

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



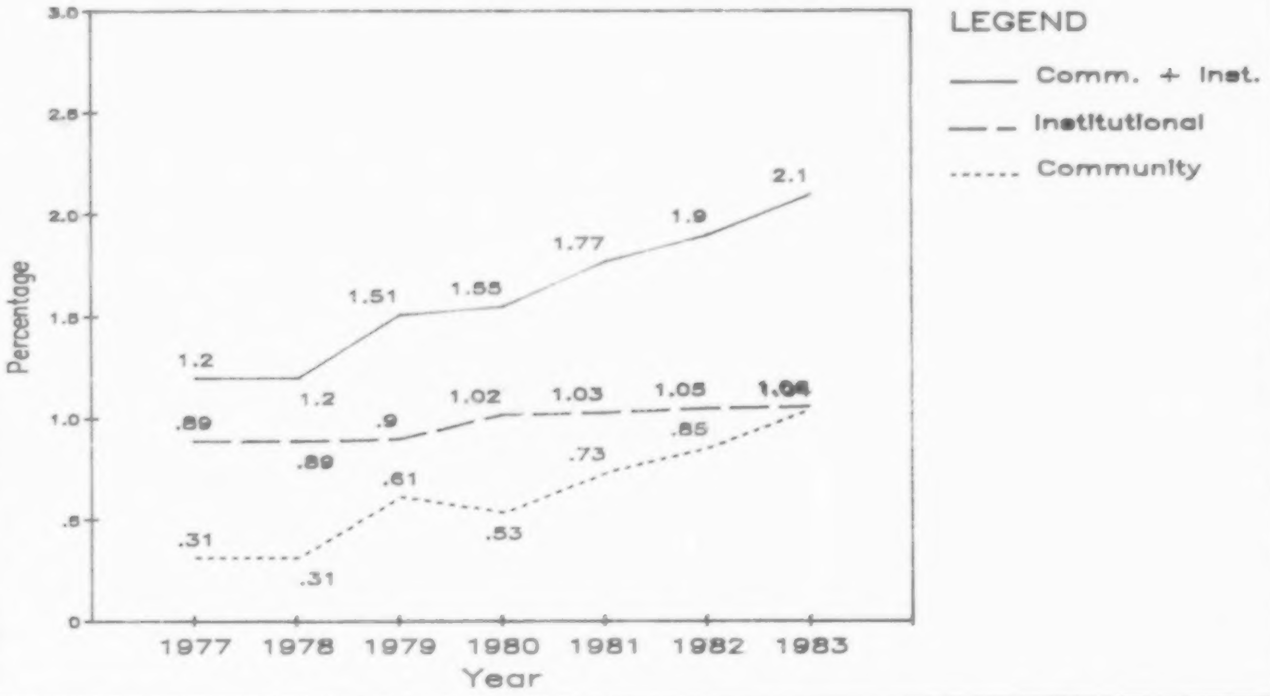
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



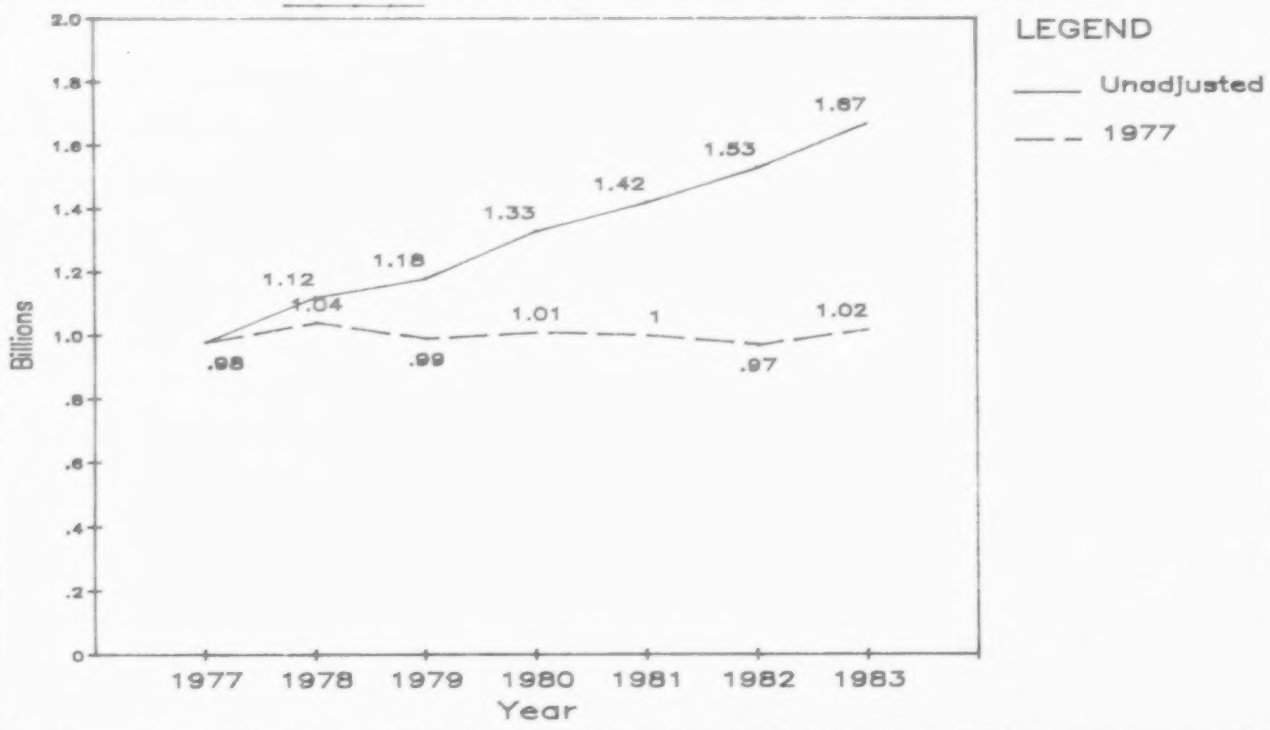
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MAINE

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget. FY 1977–1983



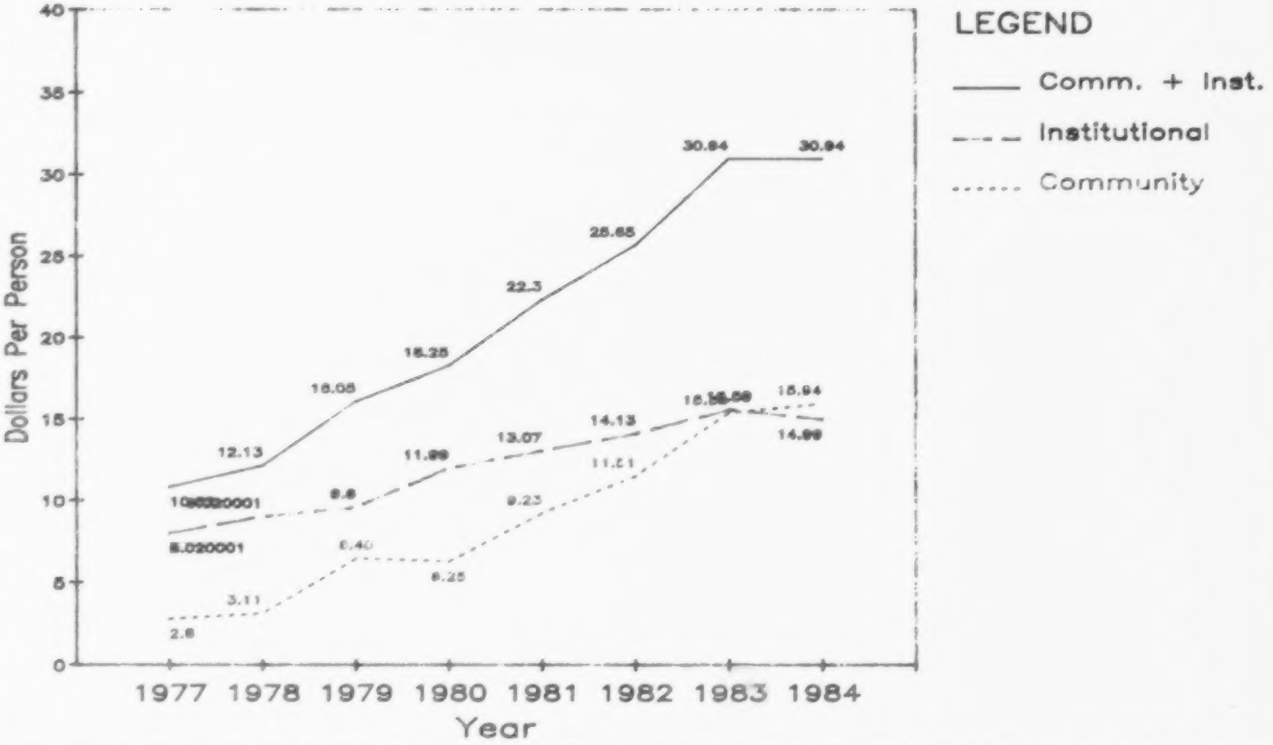
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



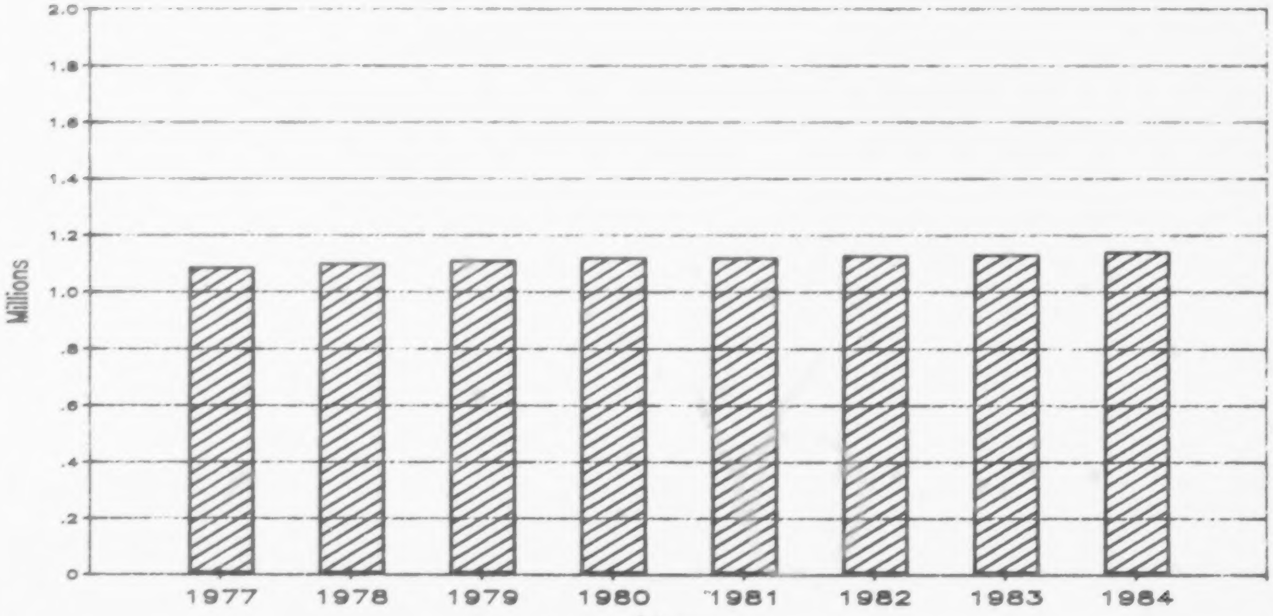
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MAINE

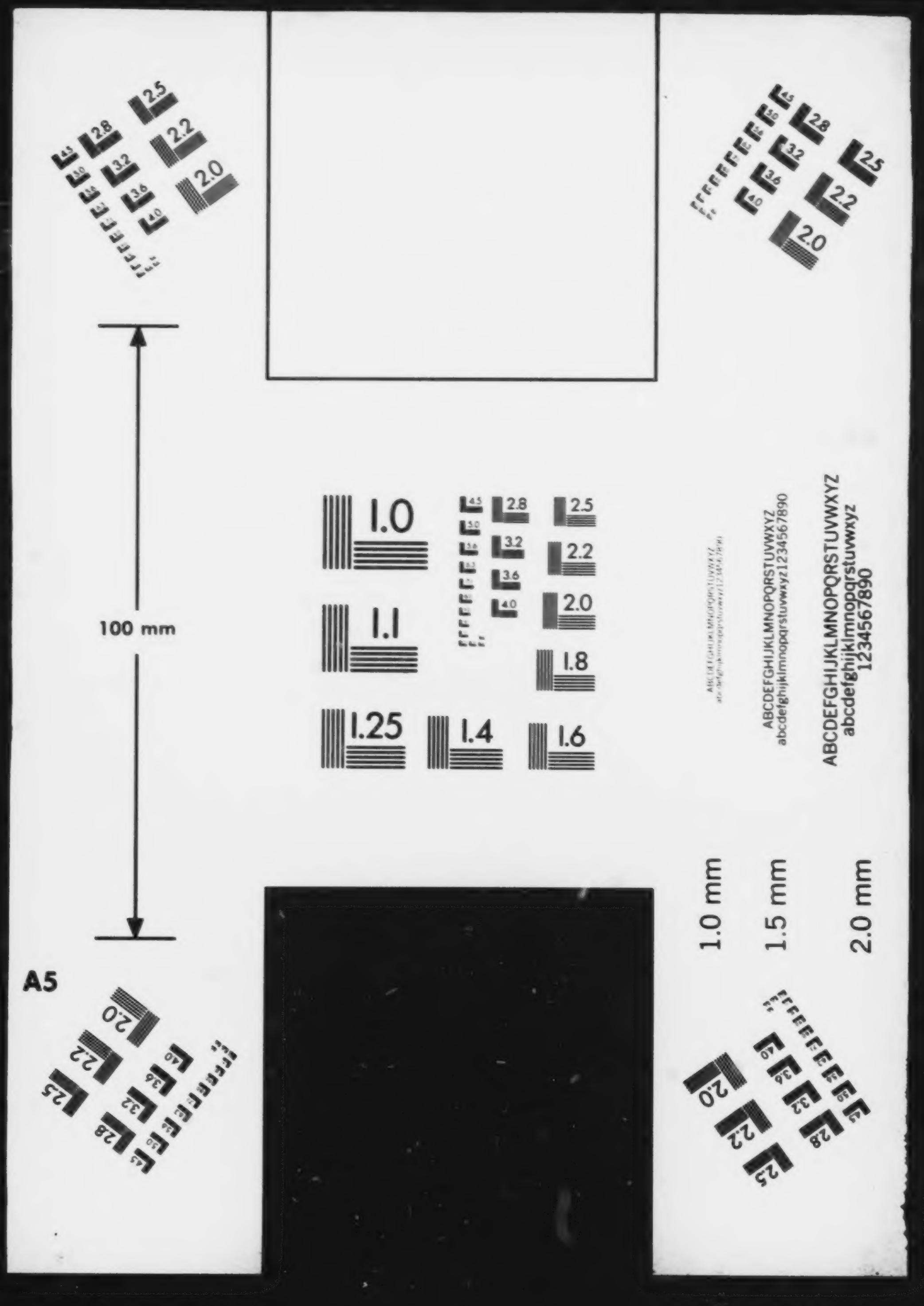
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.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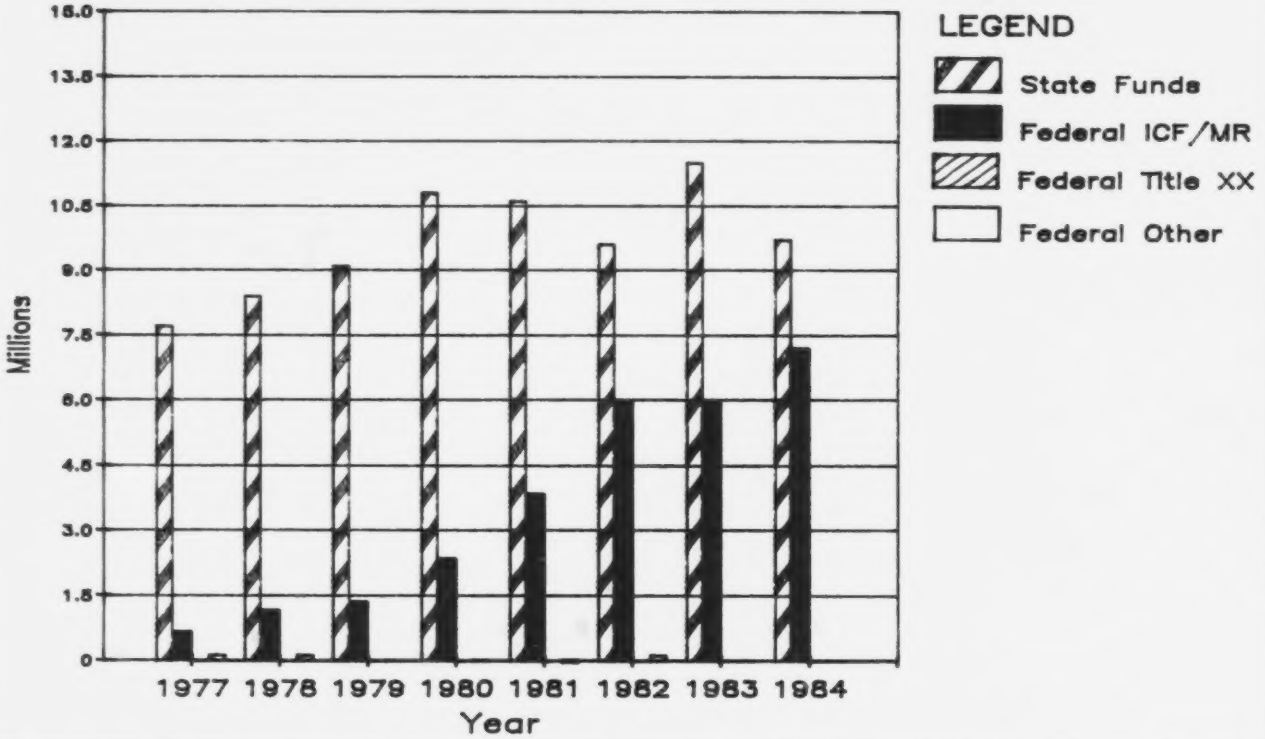
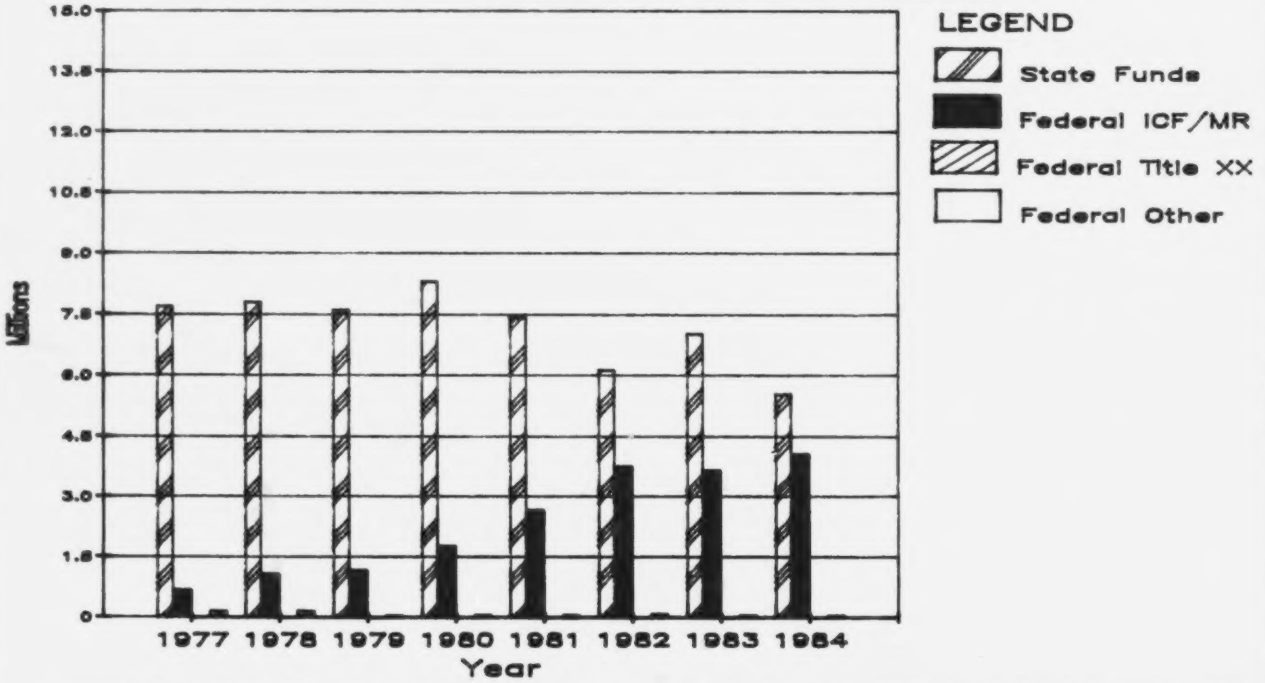
MAINE

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

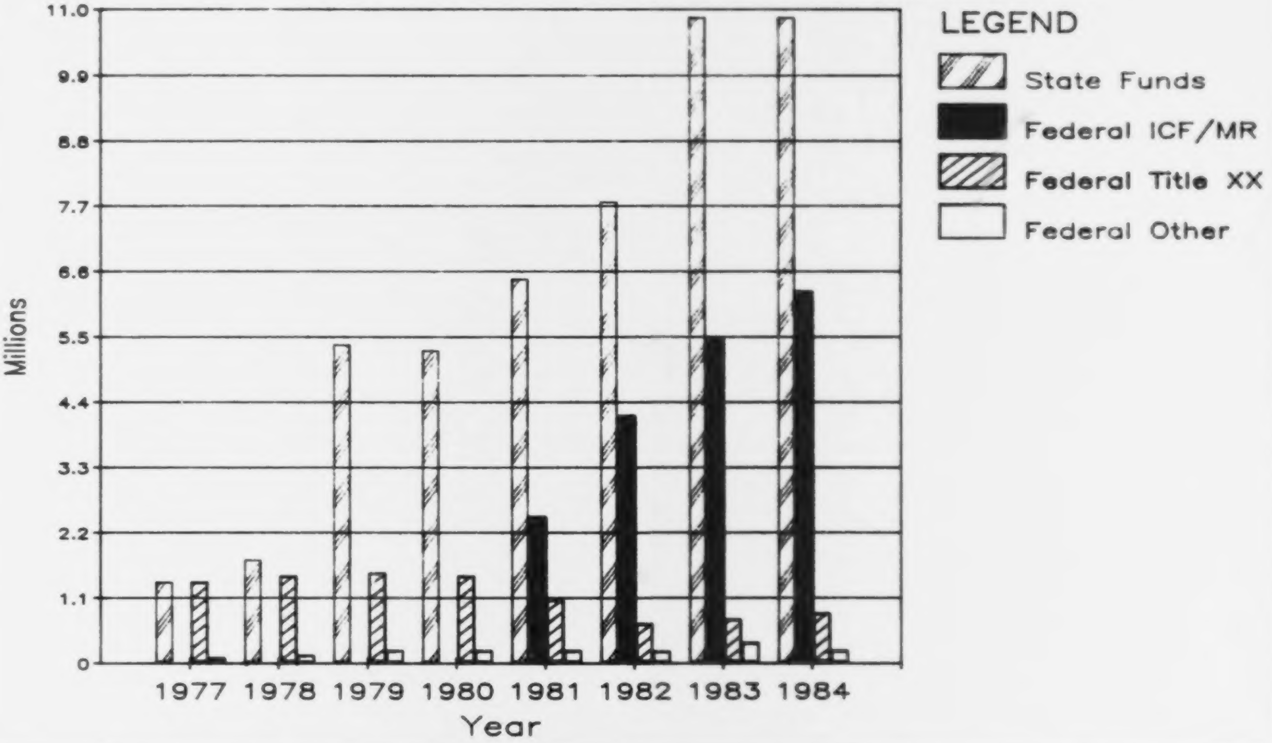


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

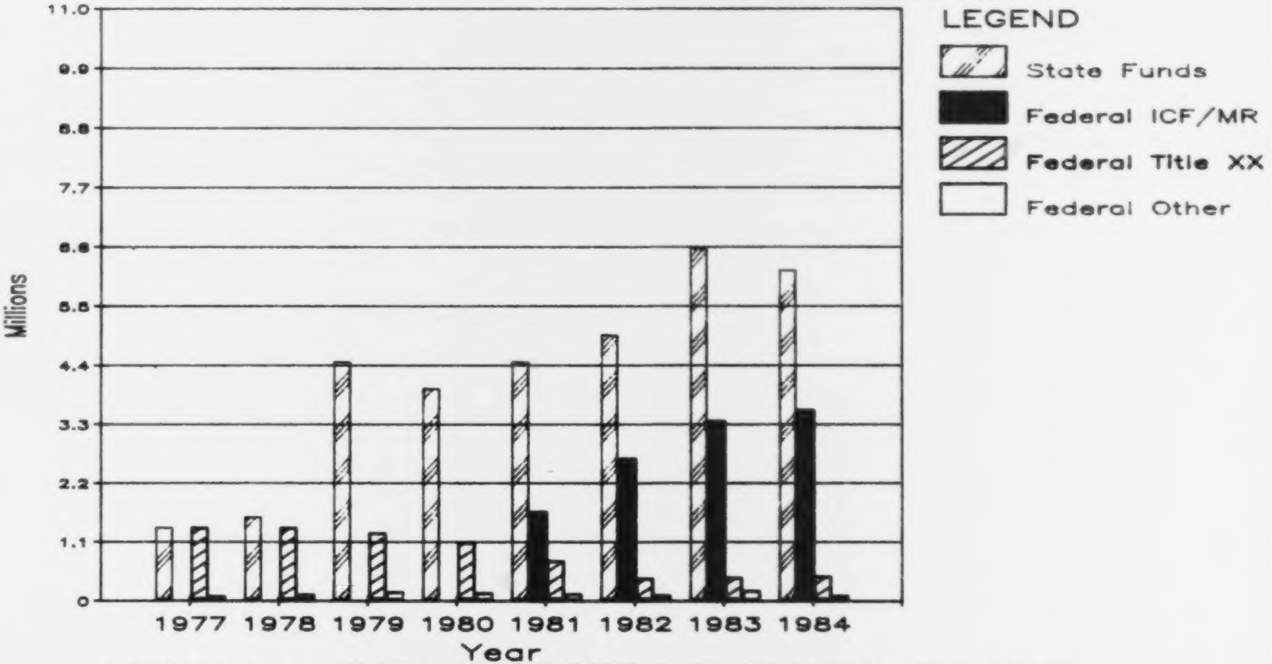
MAINE

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*

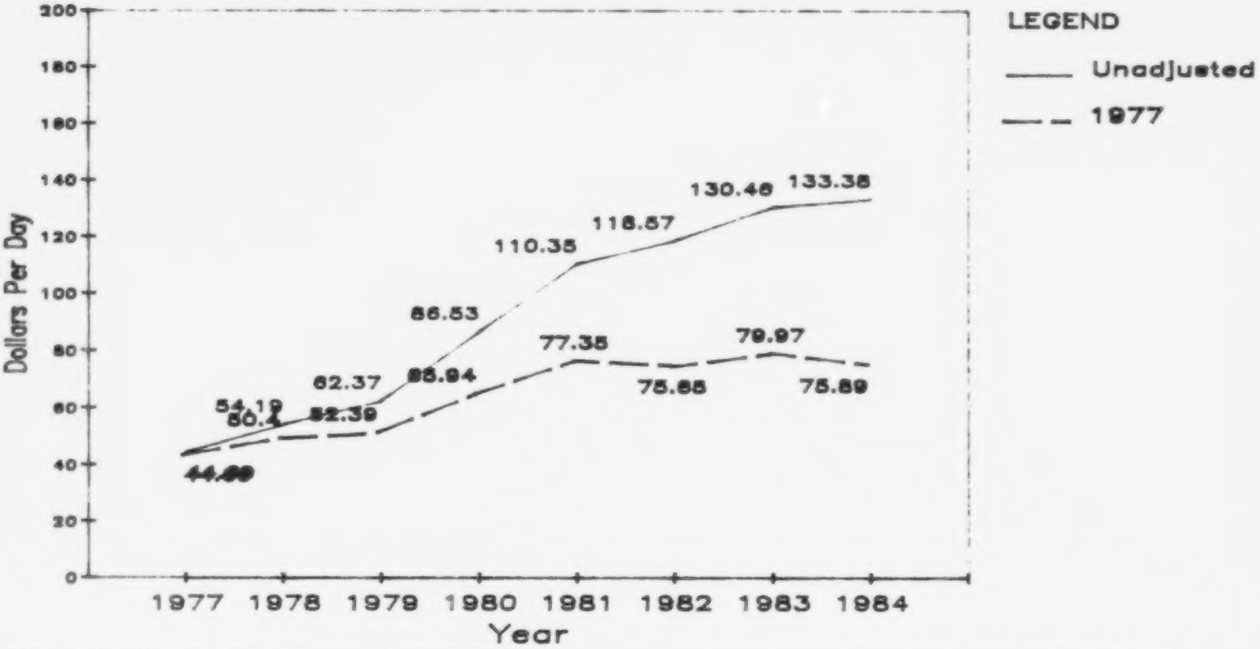


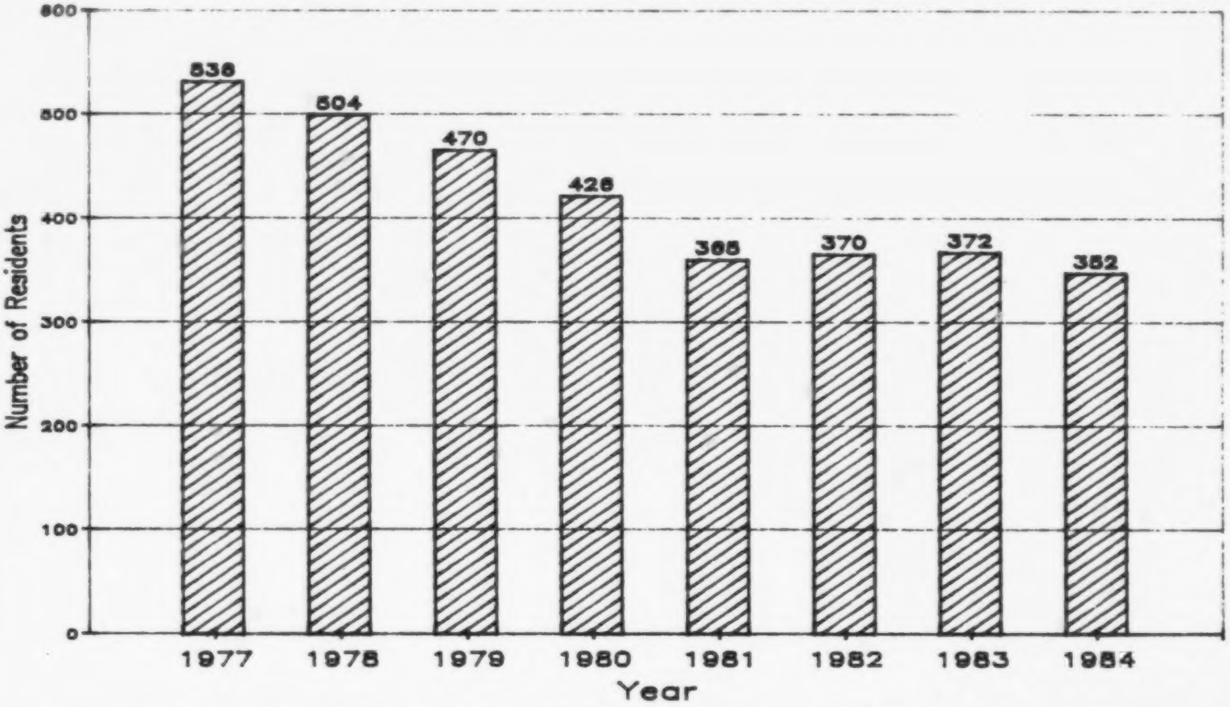
FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984


MAINE
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars


Average Daily Residents in Institutions FY 1977–1984

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MAINE

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Maine Bureau of Mental Retardation is within the Department of Mental Health and Mental Retardation. Under the Bureau are three state institutions: Pineland, Aroostook, and Elizabeth Levinson Centers, and the Community MR Program. The MHMR Department was created in FY `82. Prior to that time, MR services were under the Department of MH and Corrections. Administation and institutional food, fuel and unemployment compensation costs are centralized at the Departmental (rather than the Bureau) level.

2. Budget Format: The Maine executive budget presented MR budget data in the following format:

    Department of Mental Health and Mental Retardation
        Pineland Center (same format for Aroostook and Levinson)
            General Fund
            Other Special Revenue Fund
            Federal Expenditure Fund
        Bureau of Mental Retardation
            MR Services - Community
            General Fund
            Other Special Fund Revenue
            Federal Expenditure Fund
            Federal Block Grant Fund

3. Note on Data Sources: Actual expenditures, with funding sources, were obtained from the 1980-81, 1982-83, and 1984-85 State of Maine Budget documents. Clarifications were provided by Bob Bernier, Director of DMHMR Accounting and Audits (letter, 9/26/83).

II. INSTITUTIONAL SERVICES

4. Maine has a centralized account for purchase of food and fuel for all state institutions and for unemployment compensation. The Director of DMHMR Accounting and Audits, Bob Bernier, provided the portion of that account allocated to the three MR institutions (letter 9/26/83). The aggregated average daily population at the three facilities, Pineland, Levinson, and Aroostook, has been:

    1977 - 536
    1978 - 504
    1979 - 470
    1980 - 426
    1981 - 365
    1982 - 370
    1983 - 372
    1984 - 352

    (Source: telephone interview, Bob Jones, 6/20/84).

    The published executive budget also includes the expenditures for two state run ICF/MR community homes (six beds each), which are budgeted in the Pineland Center budget, but are physically located in the community. The homes were opened in 1981. Since the homes are community-based services, these funds have been subtracted from Institutional Services expenditures and considered part of the Community Services expenditures.

5. State General Funds includes the MR portion of the centrally purchased institutional food and fuel account. In our analysis, State General Funds do not include major capital construction costs (entitled "capital expenditures" in the operating budget document). That line has been subtracted from the Institutional expenditures for purposes of comparability with other states.

The gross amounts (federal and state share combined) of ICF/MR funds were provided by Bob Bernier (letters, dated 9/26/83 and 10/3/83). Federal-share ICF/MR funds have been netted out of the "general fund" budget line based on the matching ratios for FY 1977-`84 (see Note 7 below).

6. Other State Funds include private pay revenue (Bob Bernier, letter 9/26/83). Also included in this line is an item labeled "Other Special Revenue" in the budget documents. This revenue is canteen proceeds, cafeteria fees, etc., according to the Bureau of MR Director (telephone, 8/16/83). The FY '84 appropriations figures do not include a projected amount for private pay revenue nor canteen receipts.

7. Title XIX. Pineland and Levinson Centers have been receiving Title XIX reimbursement since prior to FY '77. Aroostook Center began receiving Title XIX in FY '84. The following federal matching rates, provided by the HCFA/USDHHS, were used to calculate the federal share of ICF/MR revenues.

Year	Matching Rate	Year	Matching Rate
`77	70.60%	`81	69.53%
`78	69.74	`82	70.63
`79	69.74	`83	70.63
`80	69.53	`84	70.63

8. Other Federal Funds include Medicare revenues (Bob Bernier, letter 9/26/83), and an item labeled "Federal Expenditure Fund" in the budget, which includes the smaller federal programs such as Title I education funds.

III. COMMUNITY SERVICES

9. Community Services expenditures include the six regional offices which oversee adult day activities, pre-school services, and community residential services. These figures do not include capital construction costs, but they do include fixed equipment costs. Also in FY `82-`84, some central state administrative costs were included in community budget lines. The following sums for administration were subtracted from State General Funds for Community Services:

Year	Total
FY `82	$ 464,000
FY `83	369,000
FY `84	385,000

FY `84 appropriation figures were provided by DMHMR (letter 9/26/83).

10. Other State Funds are primarily state and local matching dollars for Titles XX and XIX--see Notes 11 and 12.

11. Title XIX. There are two state-run community based ICF/MRs which were transferred from the Pineland budget to the Community Services section of this analysis (see Note 4). The facility is called Freeport Towne Square. It is two homes, six beds each, separated by a driveway. Rob Jones, Resources Development Manager (telephone, 6/20/84), reported the following per diem rates which were used to calculate federal share and state share expenditures for these facilities: FY `82-$61.95; FY `83-$86.12; and FY `84-$93.61. (See Note 7 for the Title XIX matching percentages utilized.)

12. Title XX. The Department of Human Services rather than DMH/MR budgeted Title XX funds for MR community programs until FY '83. Expenditures for FY `79-`82 were provided by Sabra Burdick of DHS (telephone, 11/28/83) from the Comprehensive Annual State Plan (CASP) for Title XX. The following amounts of federal Title XX (and state and local matching dollars which are recorded in this analysis under Other State Funds) were carried in the DHS budget ($'s in thousands):

FY	Federal	State Match	Local Match
`77	$1,450	---	$475
`78	1,479	---	493
`79	1,553	$414	517
`80	1,475	371	120
`81	1,118	492	88
`82	716	---	---

Prior to implementation of the Social Services Block grant, a local match was required for Title XX Funds. The local dollars were actually included in the state budget and then returned to the localities. This practice was terminated in FY 1983.

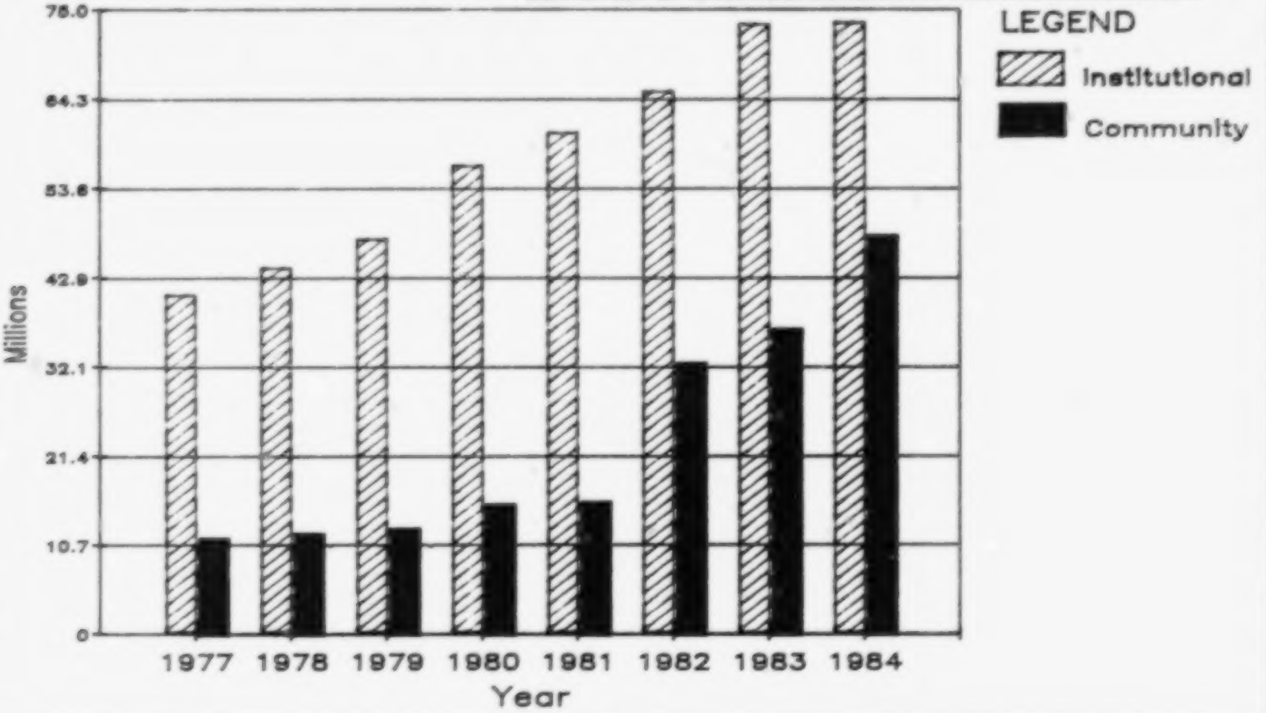
The above figures were taken from the CASP rather than from actual expenditure records. Actual expenditures might have varied by a few percent, but the CASP is the only source where expenditures were recorded by type of client. (Actual expenditures for Title XX are recorded by type of services, rather than client.) In FY `83, Social Services Block grant funds were turned over to the Bureau of MR and appear in its budget. Matching funds are no longer required.

13. Other Federal Funds include DD Council funds. Maine is a minimum funded state. Basic State Grant figures were obtained from the Federal Administration on Developmental Disabilities (correspondence, 6/18/84).

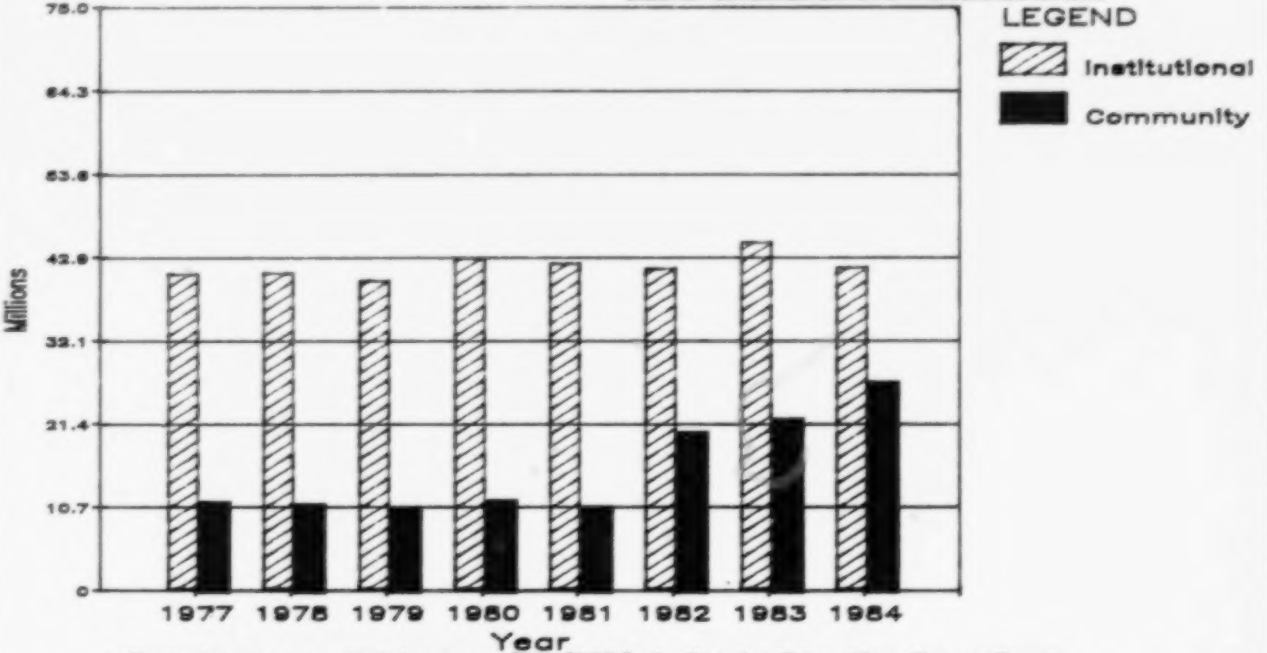
14. Private ICF/MR figures were provided by the Maine Department of Human Resources, John Wakefield, (telephone, 8/25/83).

MARYLAND
STATE PROFILE

MARYLAND
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

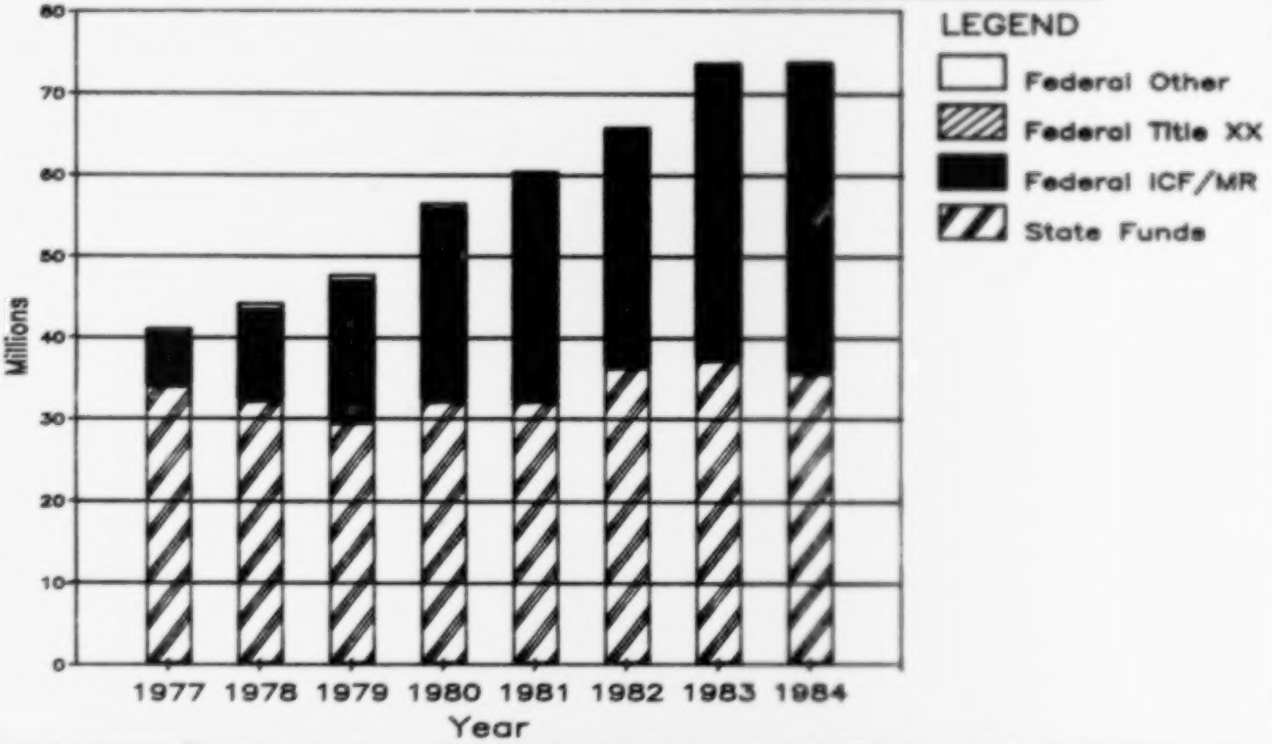


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

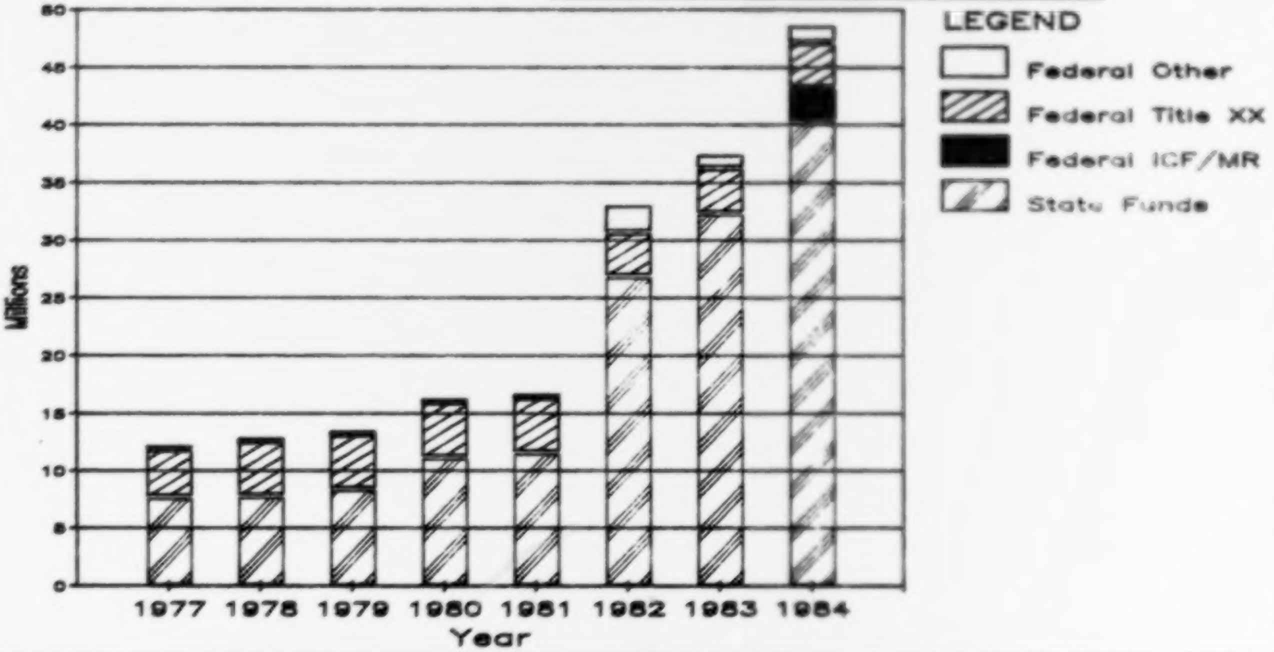
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



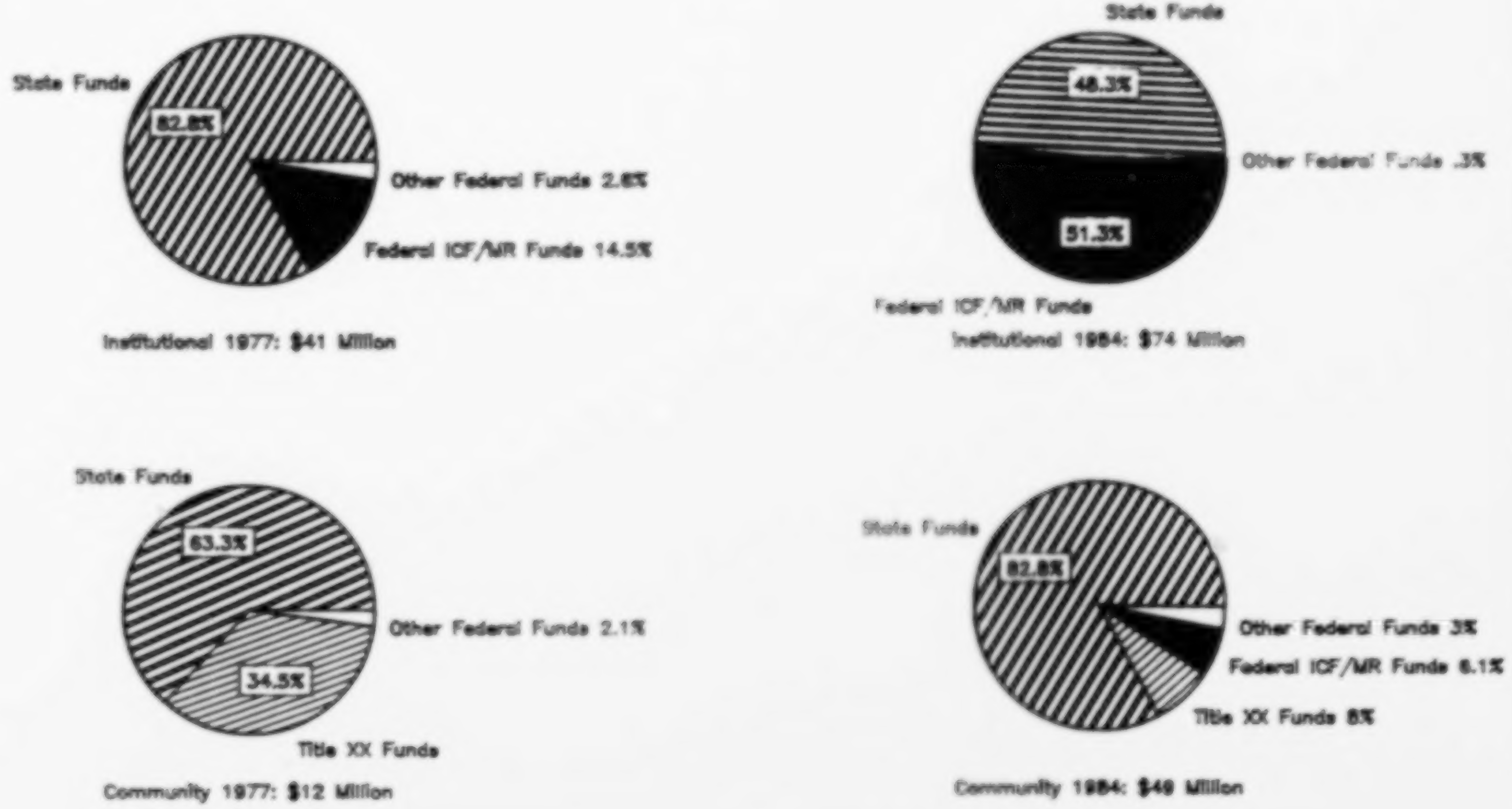
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



MARYLAND

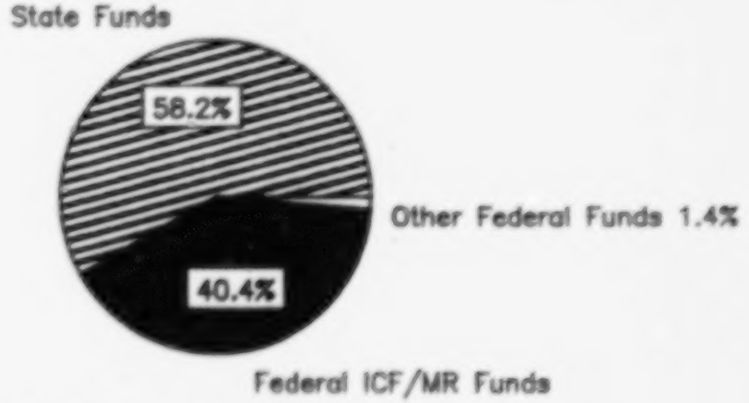
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

FY 1977 & 1984



*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

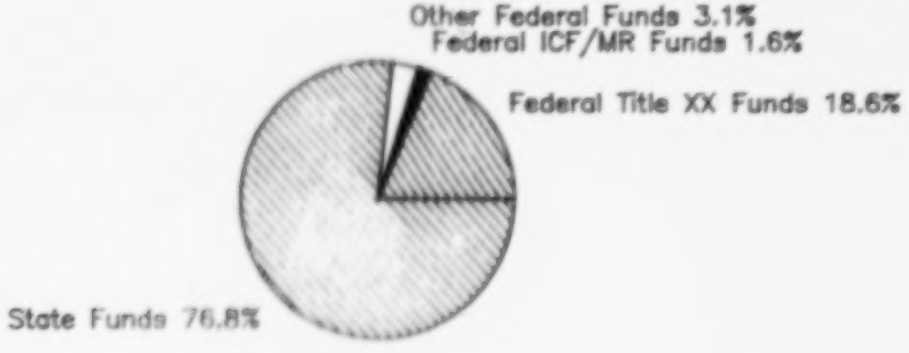
MARYLAND
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $463 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

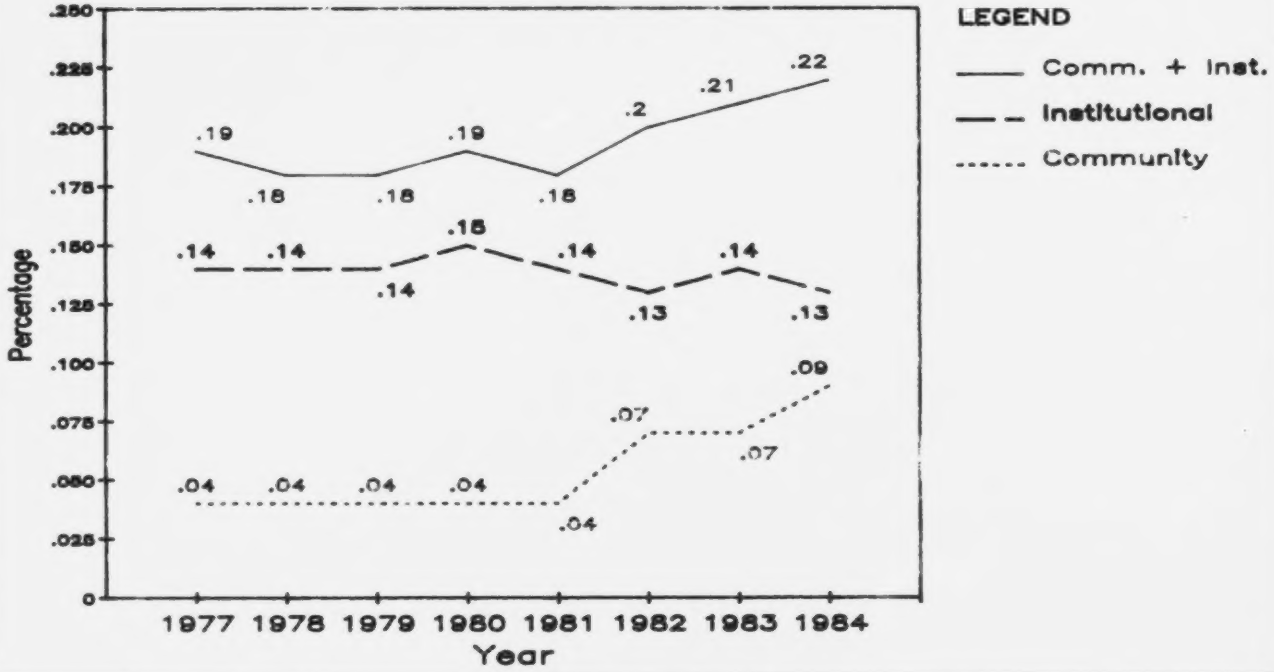


Total Community: $190 Million

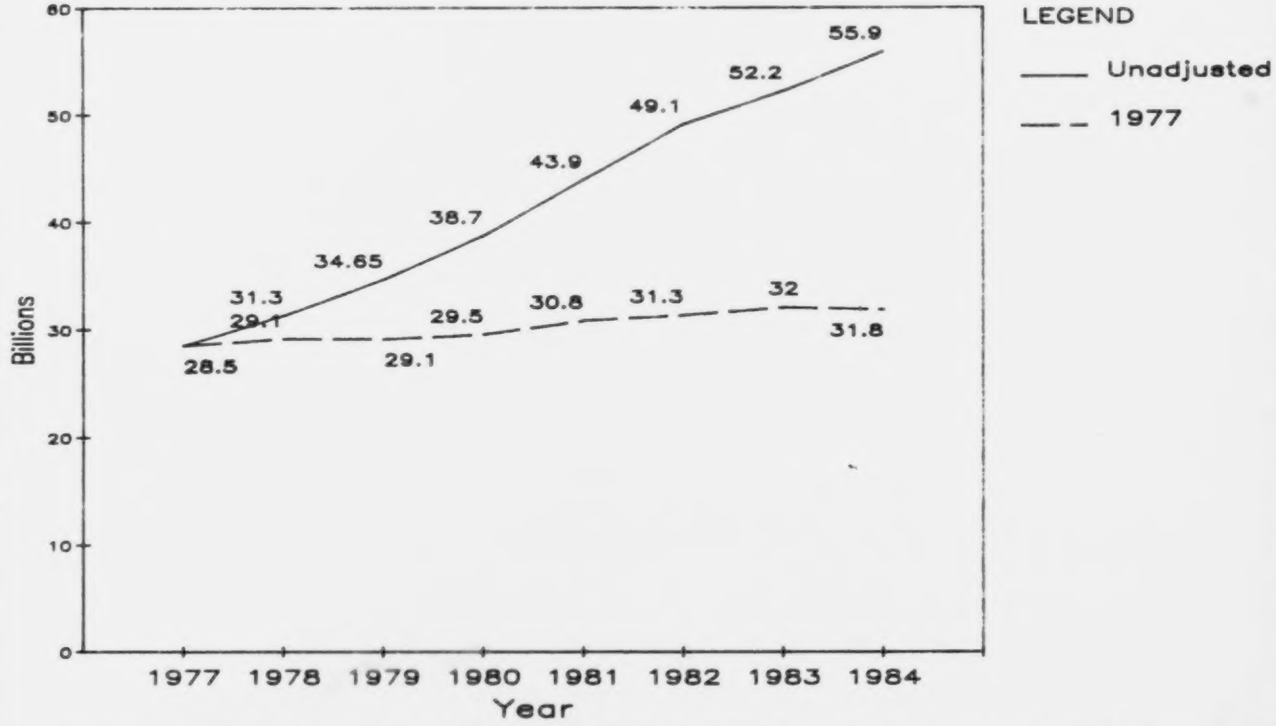
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



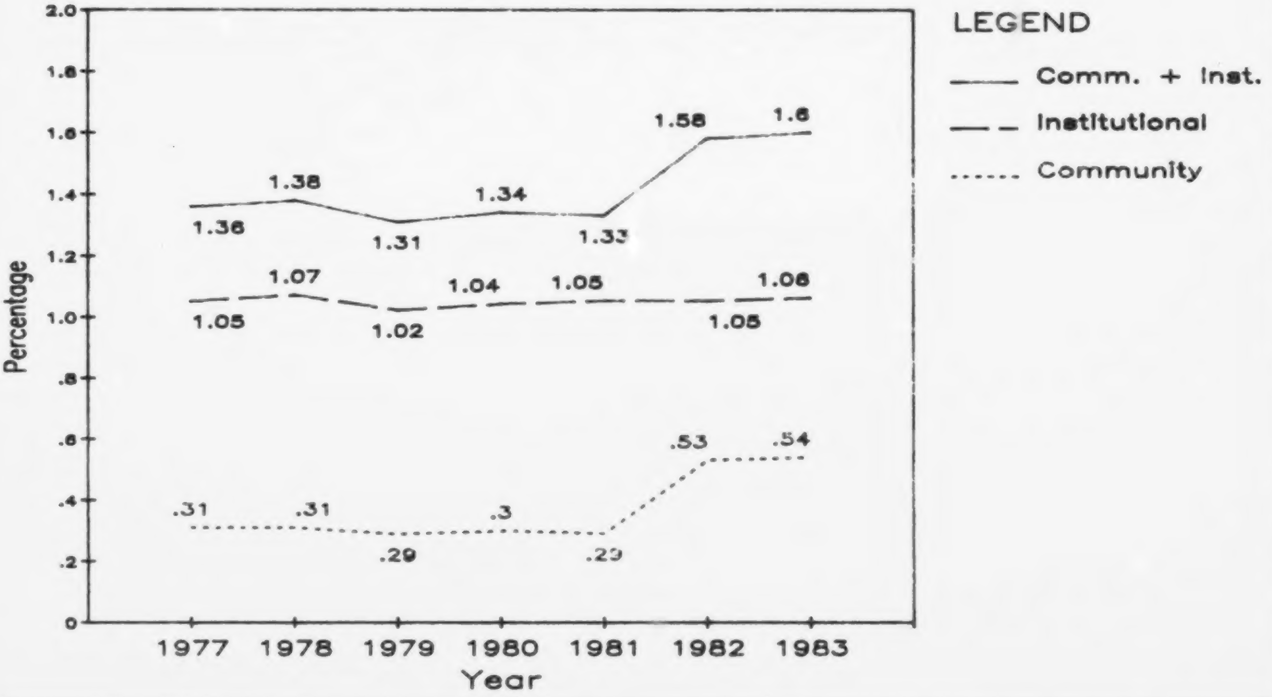
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



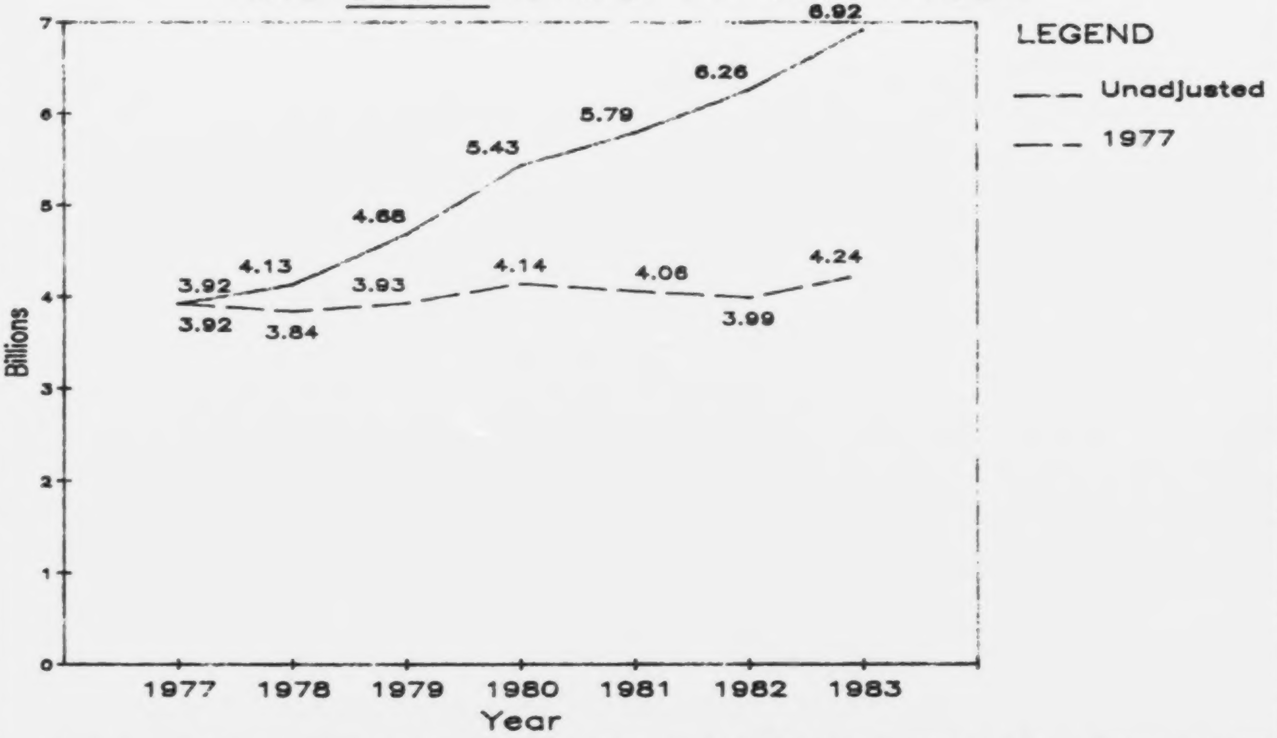
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



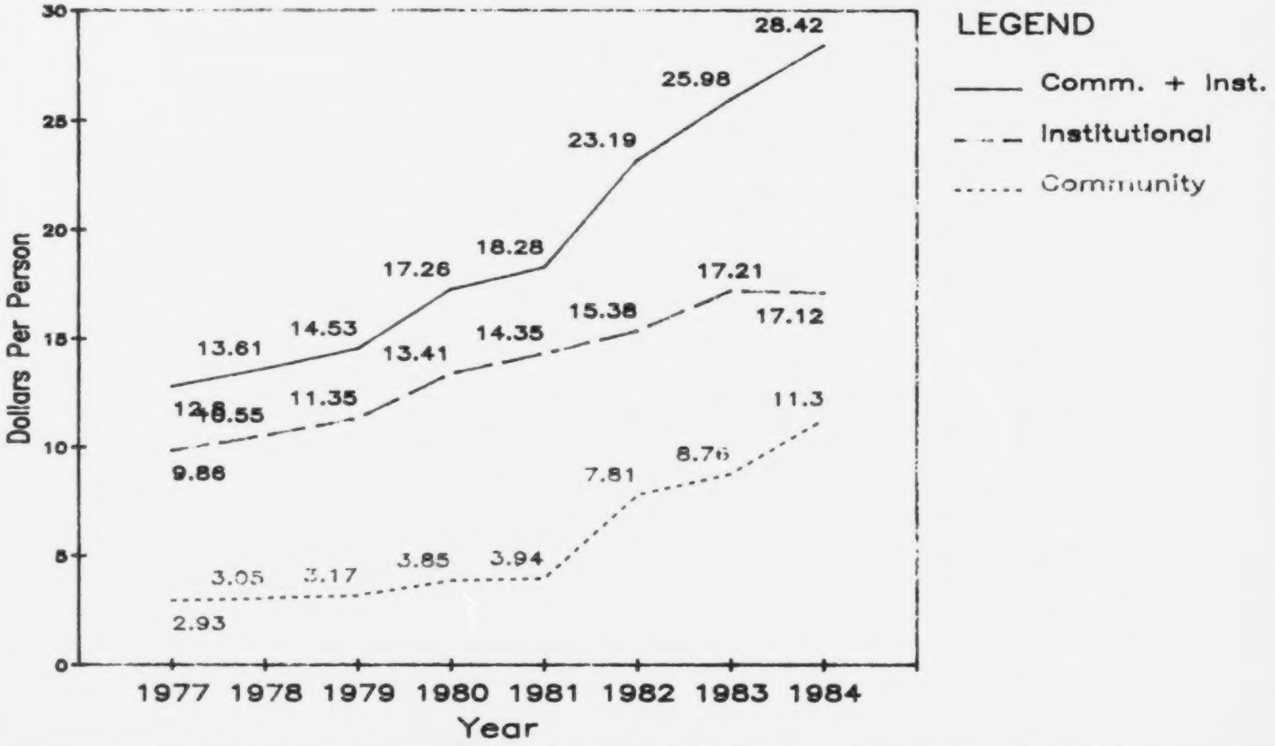
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1984



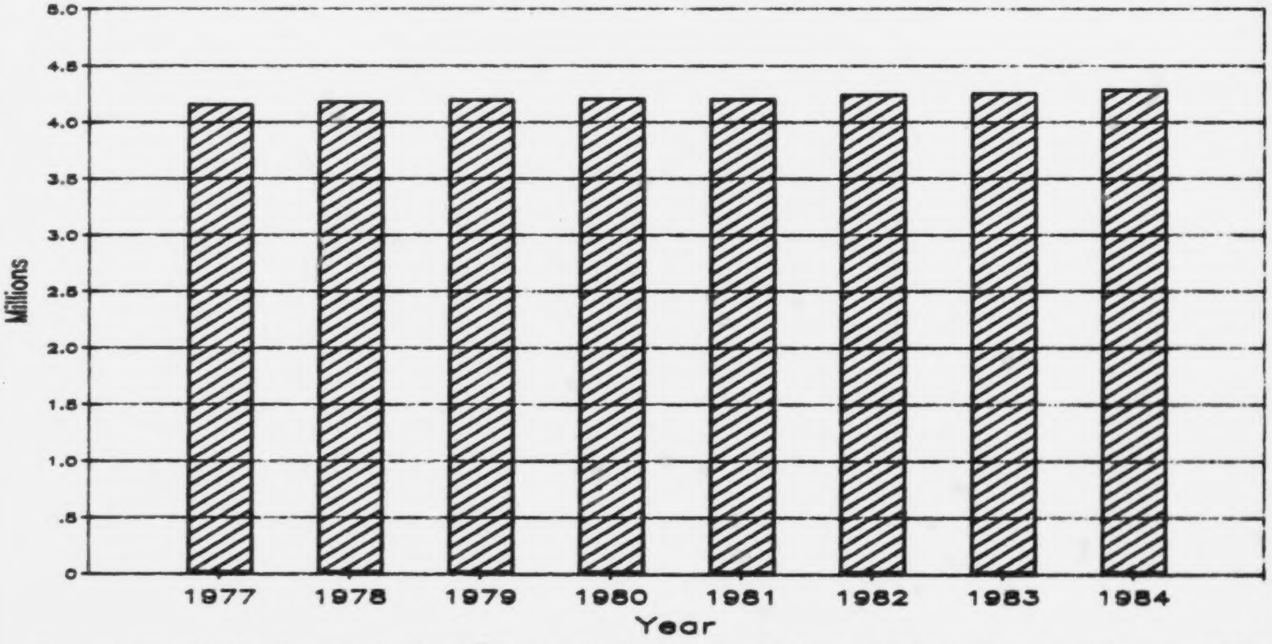
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

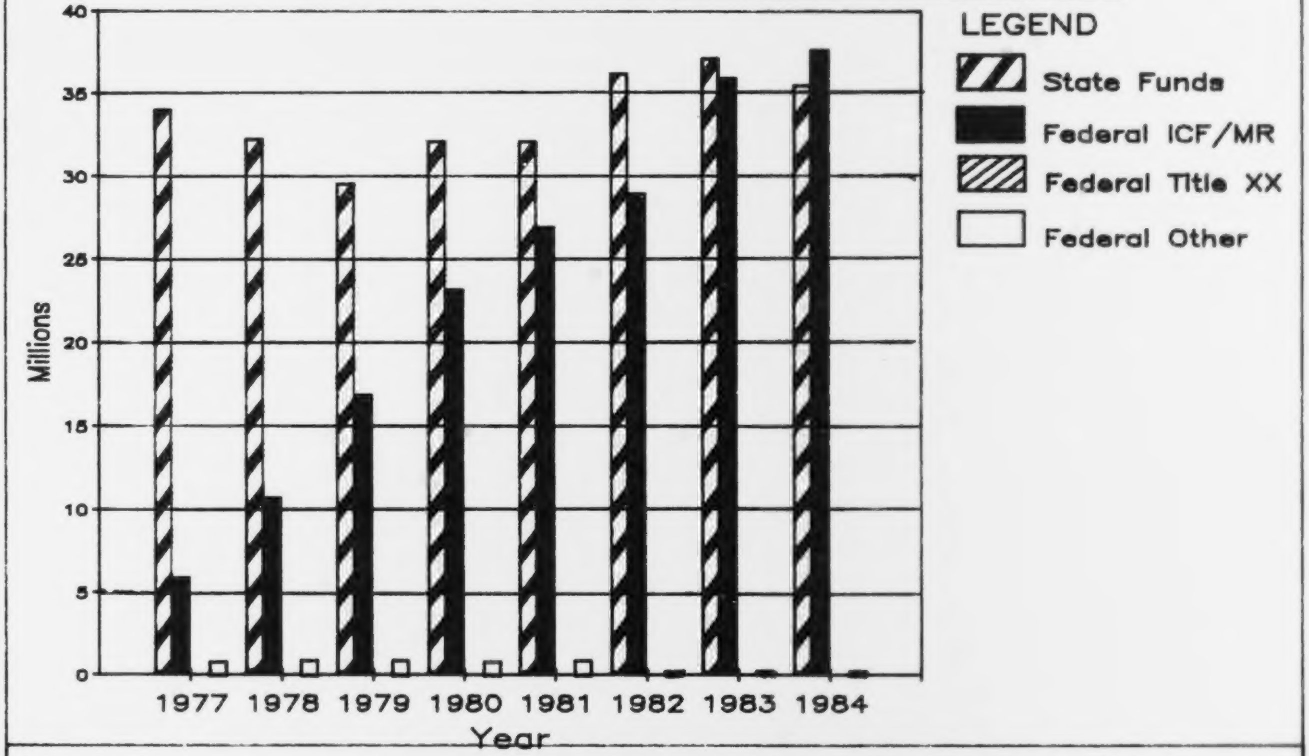


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

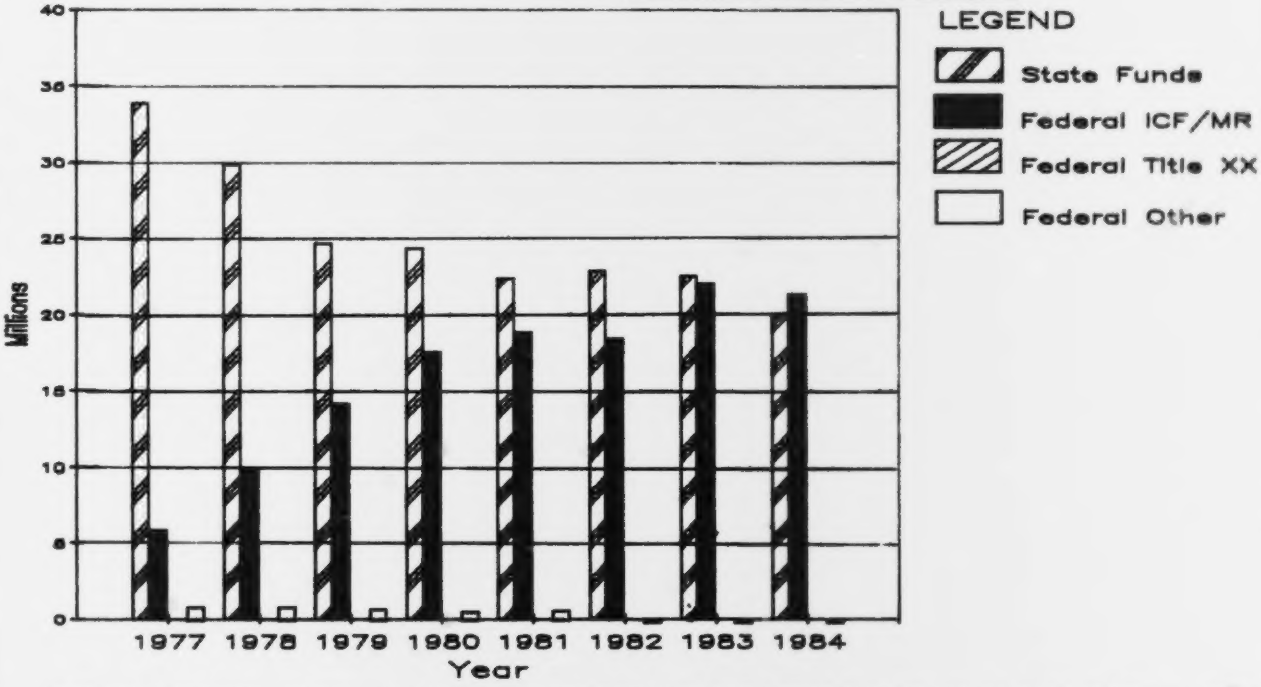
MARYLAND

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



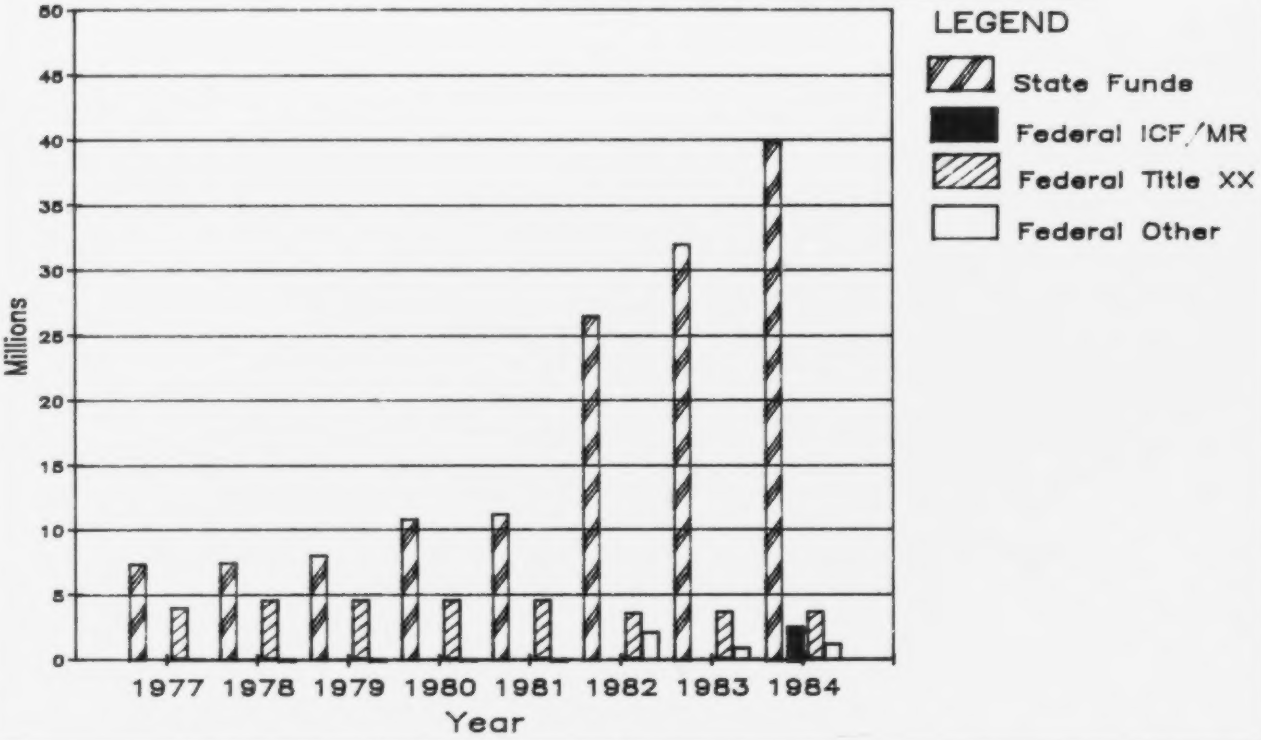
FY 1977–1984, *In 1977 Dollars*



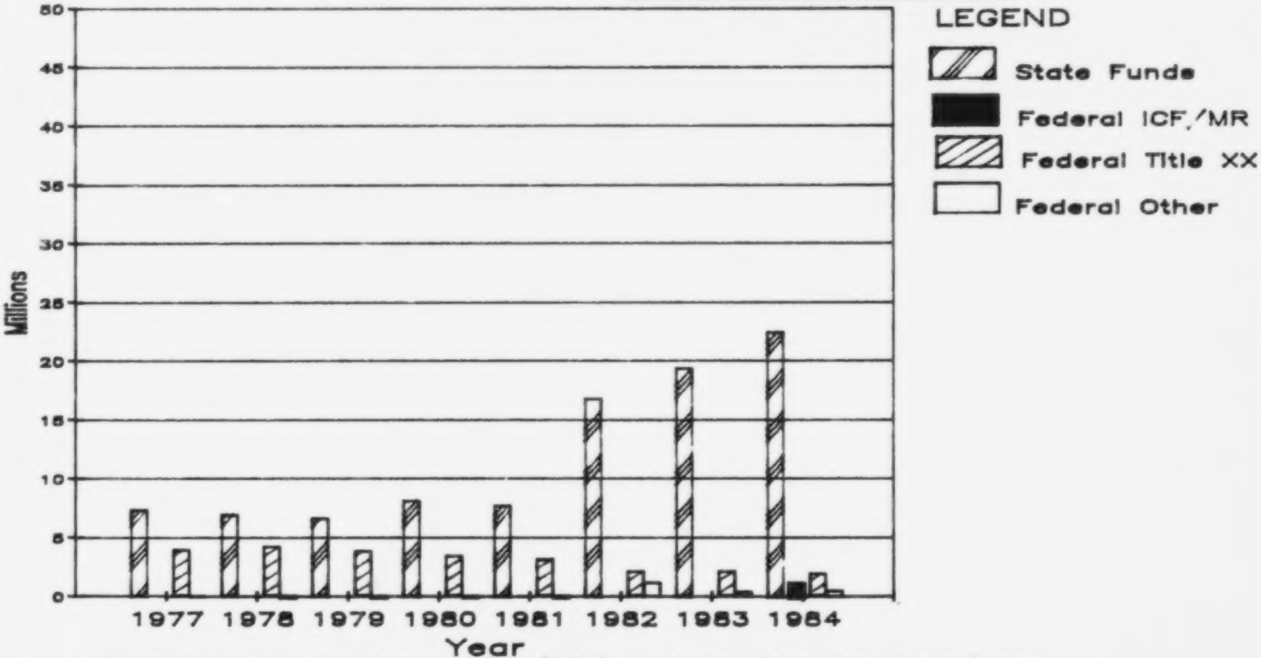
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



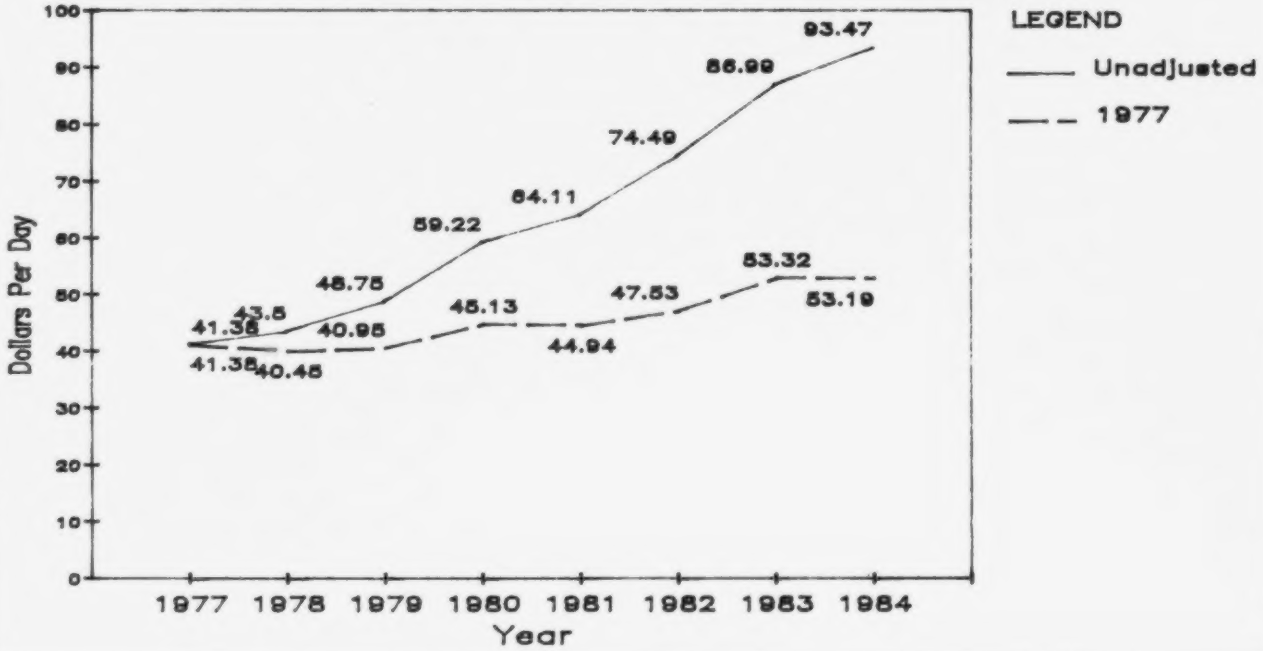
FY 1977–1984, ***In 1977 Dollars***



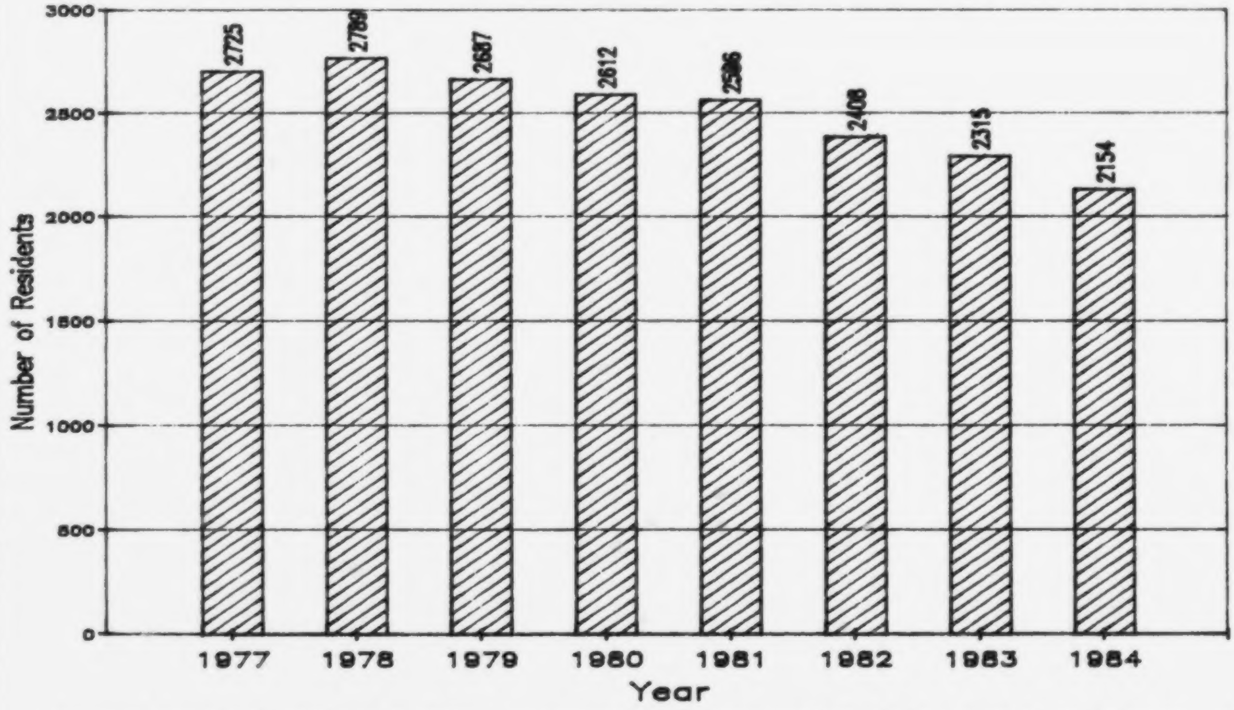
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MARYLAND

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The MR/DD program in Maryland is administratively located within the MR/DD Administration, an agency located within the Department of Health and Mental Hygiene.

2. Budget Format: Maryland executive budgets presented the MR/DD Administration budget in the following manner:

- Department of Health and Mental Hygiene
  - MR/DD Administration (totals)
    - General Revenue Fund
    - Federal Fund Expenditures
      - for example:
        - MCH Grant
        - Title XX
        - DHR/Purchase of Service
        - Developmental Disabilities
        - Evaluation
        - Title XIX Waiver
        - ESEA Title I
    - Special Fund Expenditures
    - Direct Local
  - Program Direction
  - Crippled Children's Services
  - Non-retarded DD Services
  - Community Services
  - State MR Centers (each institution listed separately)

Same funding sources (General Revenue Fund, Federal Fund, etc.) listed under each of the above program (Program Direction, Crippled Children, etc.) sub-divisions of the Department.

3. Notes on Data Sources: All figures exclude MR/DD Central Office administrative overhead costs allocable to the Department of Health and Mental Hygiene. Analytically excluded are such items as capital costs, depreciation, central payroll, and personnel department costs, interest expenses on bonded indebtedness, and certain other "shared" expenses in the Assistant Secretary's Office. Aggregate amounts of excluded costs range from $4-9 million between 1979 and 1984, according to Mr. Charles Spannare of the MR/DD Administrator's Division of Cost Accounting (letter, 8/8/83). The exclusions total as follows: FY 1979--$4.315 million; FY 1980--$6.187 million; FY 1981--$7.279 million; FY 1982--$7.866 million; FY 1983--$9.187 million; FY 1984--$9.400 million.

4. Employee fringe benefits for Institutional and Community Services have been budgeted in a central administrative account. Beginning in FY 1984, employee benefits will be distributed to each program. For purposes of comparability with other states, since most states distribute benefit costs to programs, we have added in the following amounts of employee benefits to our analysis ($'s in thousands).

FY	Community (all G.F)	Institutional Total	Institutional (G.F.)	Institutional Federal XIX
77	$103	$ 6,566	$5,581	$ 985
78	113	7,144	5,358	1,786
79	122	5,538	3,488	2,050
80	126	8,765	5,083	3,682
81	126	9,296	5,019	4,277
82	110	10,197	5,608	4,589
83	131	12,231	6,115	6,115
84	129	11,191	5,371	5,820

The Institutional amounts for `79-`84 were calculated by Charles Spannare (letter, 8/8/83). To calculate Institutional benefits for FY `77-`78 and the amounts for Community programs benefits for FY `77-`84, Spannare suggested determining 25% of the salaries and wages lines in the budget under the respective programs and adding-in those amounts to the total wages and salaries. For community programs, we added the entire amount of fringe into the general fund line. For institutions, we apportioned amounts to the State General Fund and to Federal-Share Title XIX funds in the same proportions as these institutional revenues occurred in the state budget documents, prior to the addition of employee benefits.

5. FY 1983 figures exclude Supplemental (Deficiency) Appropriations, including $1.4 million for a major Group Home construction initiative, and a $290,000 deficiency appropriation for Crippled Children's Services.

II. INSTITUTIONAL SERVICES

6. Institutional Services totals include the budgeting of funds for the following MR/DD state centers: Rosewood, Henryton (being closed), Great Oaks, Holly, Victor, Cullen, Potomac, Highland Health Facility, Carter, Crownsville, and Finan. The aggregated average daily population at the 11 Centers has been:

1977 - 2,725
1978 - 2,789
1979 - 2,687
1980 - 2,612
1981 - 2,586
1982 - 2,408
1983 - 2,315
1984 - 2,154

Source: Charles Spannare, telephone, 7/6/84.

III. COMMUNITY SERVICES

7. Community Services. The following notes pertain to the Community Services computations:

- State Funds for Community Services consists, in descending order of significance, of four budget items: 1) "Community Services," which contains over 90% of all funds; 2) "Crippled Children's Services"; 3) "Non-Retarded DD Services"; and 4) "Special Fund."

- "Direct-Local Unappropriated Funds" are considered as Other State Funds in the analysis.

- The rapid increase in Community Services funding between 1981 and 1982 was reported by agency officials to be attributed to the adoption of a major gubernatorial priority by Governor Hughes.

- Federal Funds for Community Services consists almost entirely of Title XX funds between FY 1977-`83. The Title XX entries exclude the Health and Hygiene Department's administrative costs, (telephone interview, Mr. Charles Busnuk, Title XX Coordinator, MR/DD Administration, 9/27/83).

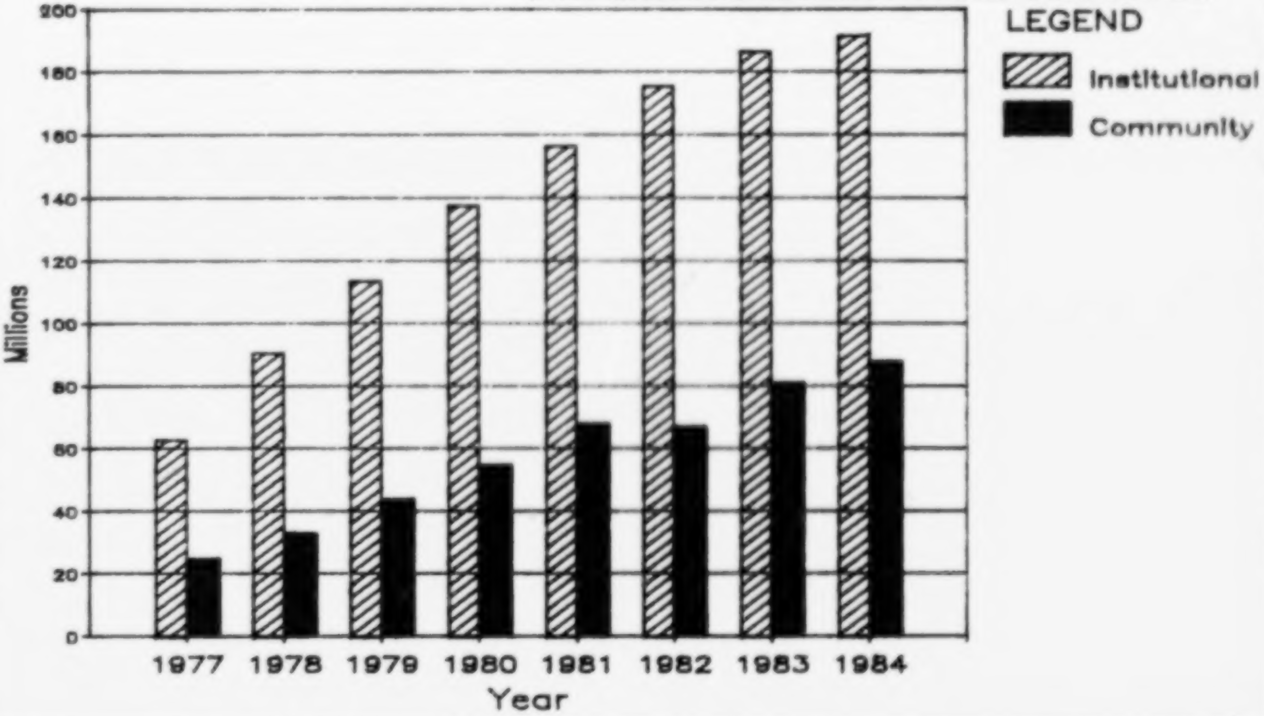
- In FY 1984, Maryland is budgeting $2.983 million for the federal share of the Community Care Waiver. These funds are estimates from the FY 1984 Maryland Budget and are predicated on the approval by DHHS/HCFA of Maryland's Title XIX Community Care Waiver.

8. Private ICF/MRs. Maryland does not fund private community residential facilities with Title XIX ICF/MR funds. Source: Telephone interview, MR Chief, Nursing Home Division, Office of Long-Term Care, Medical Assistance Policy Administration, Department of Health and Mental Hygiene, 9/27/83.

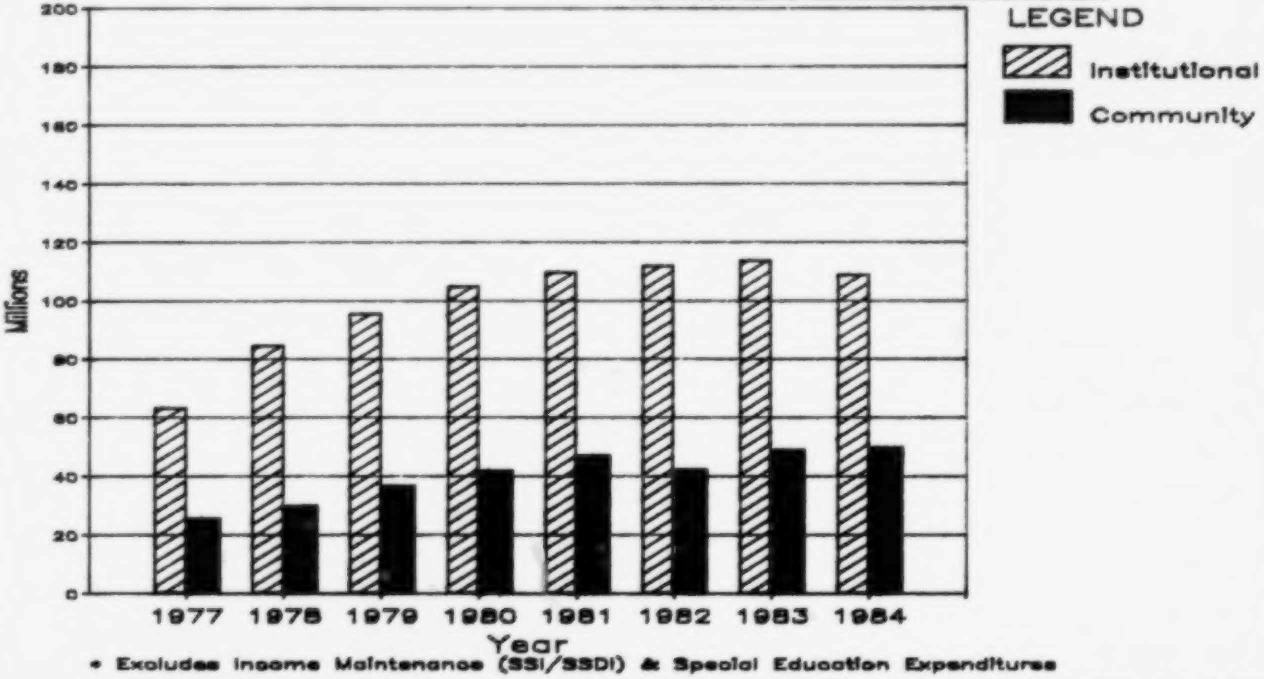
MASSACHUSETTS
STATE PROFILE

MASSACHUSETTS
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

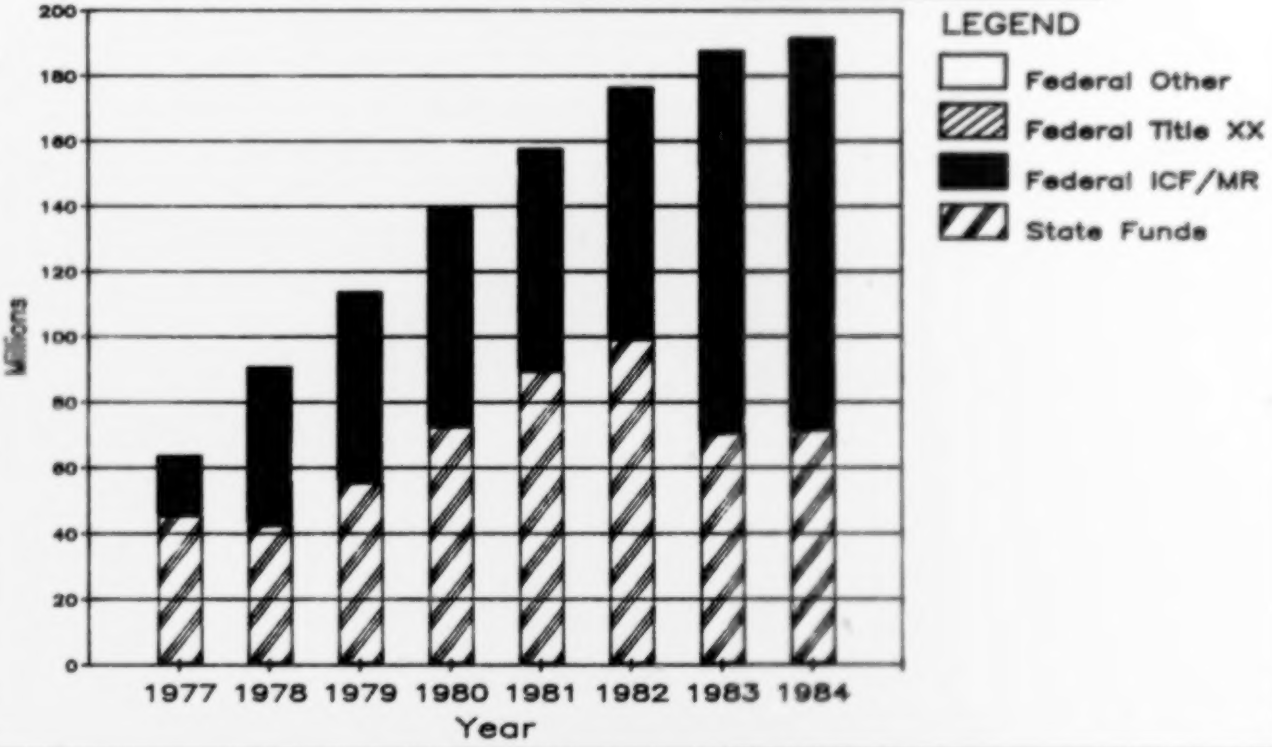


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

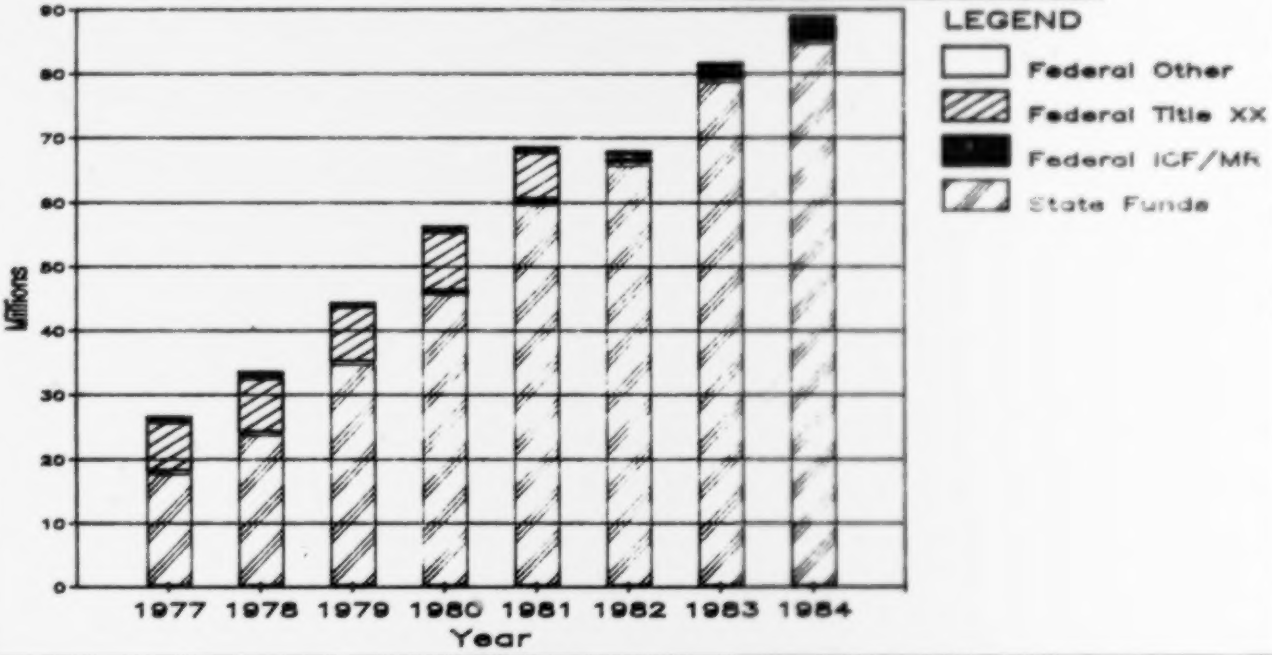
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS

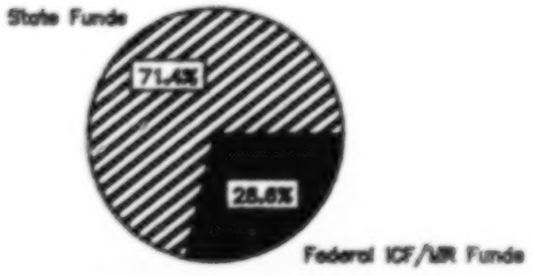
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



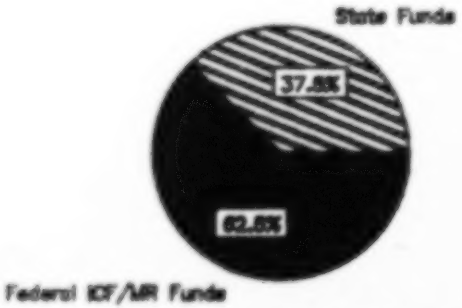
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



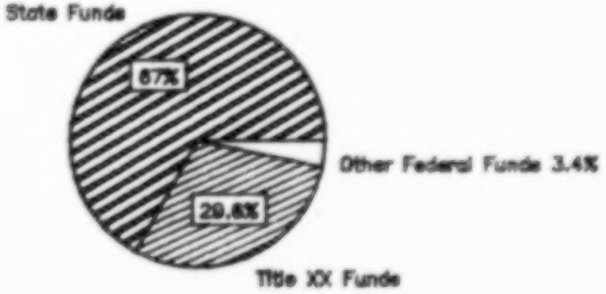
MASSACHUSETTS
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



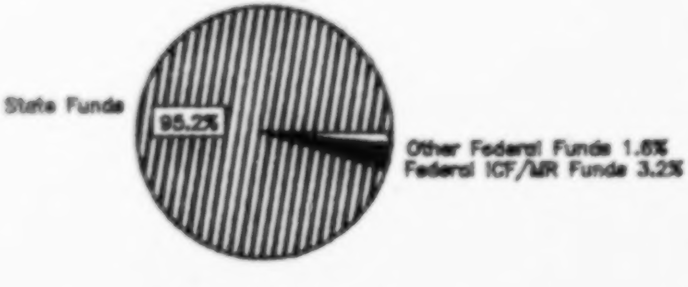
Institutional Funds 1977: $84 Million



Institutional Funds 1984: $193 Million



Community Funds 1977: $27 Million

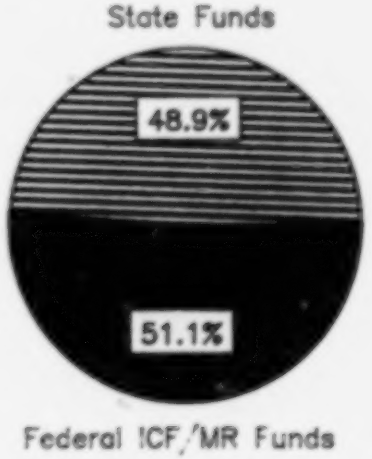


Community Funds 1984: $89 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

MASSACHUSETTS
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

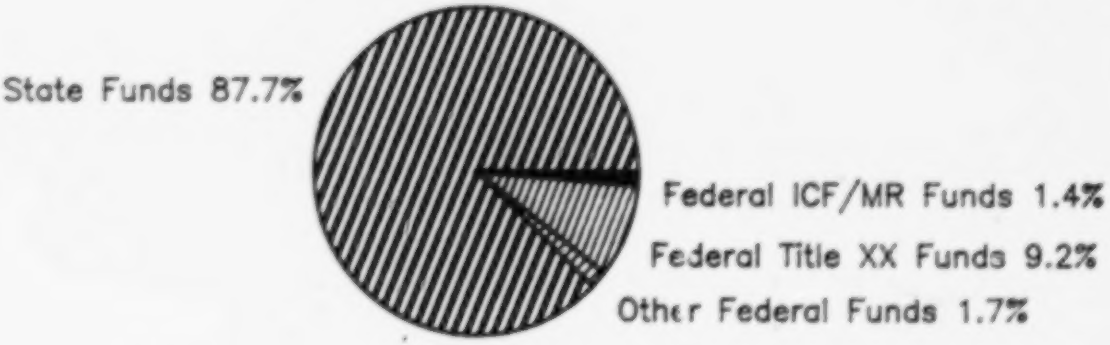
Institutional Services Funds



Total Institutional Funds: $1.1 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

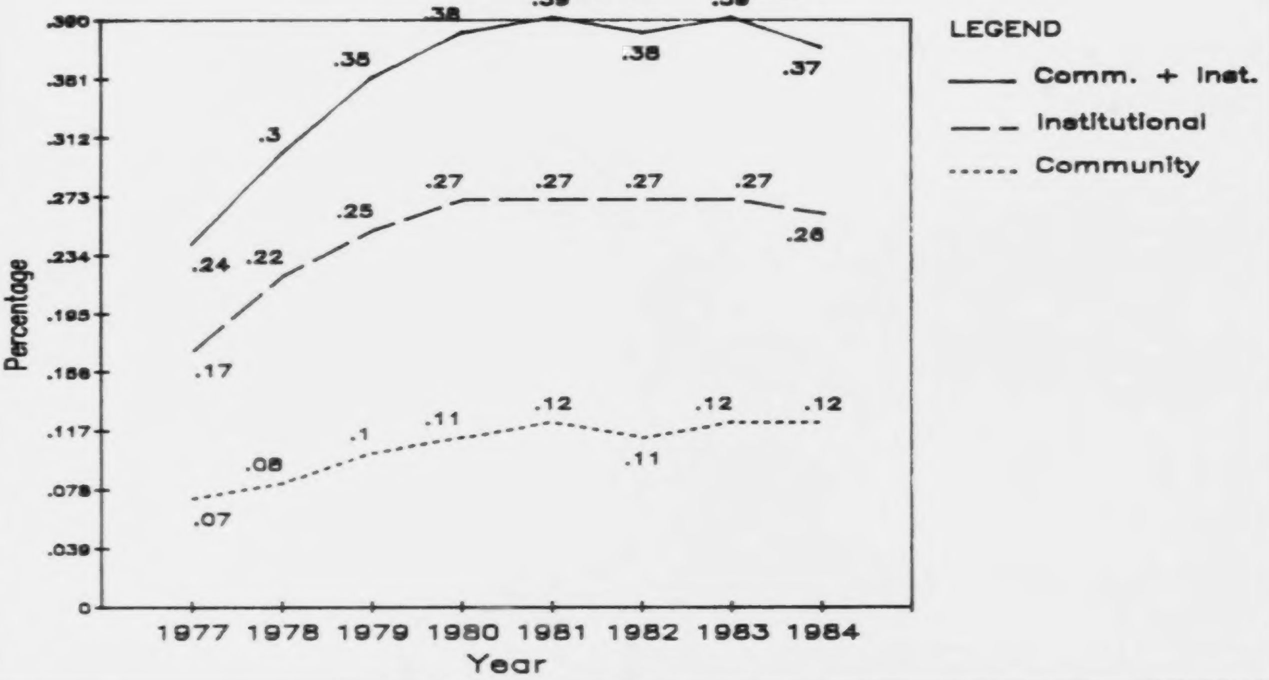


Total Community Funds: $471 Million

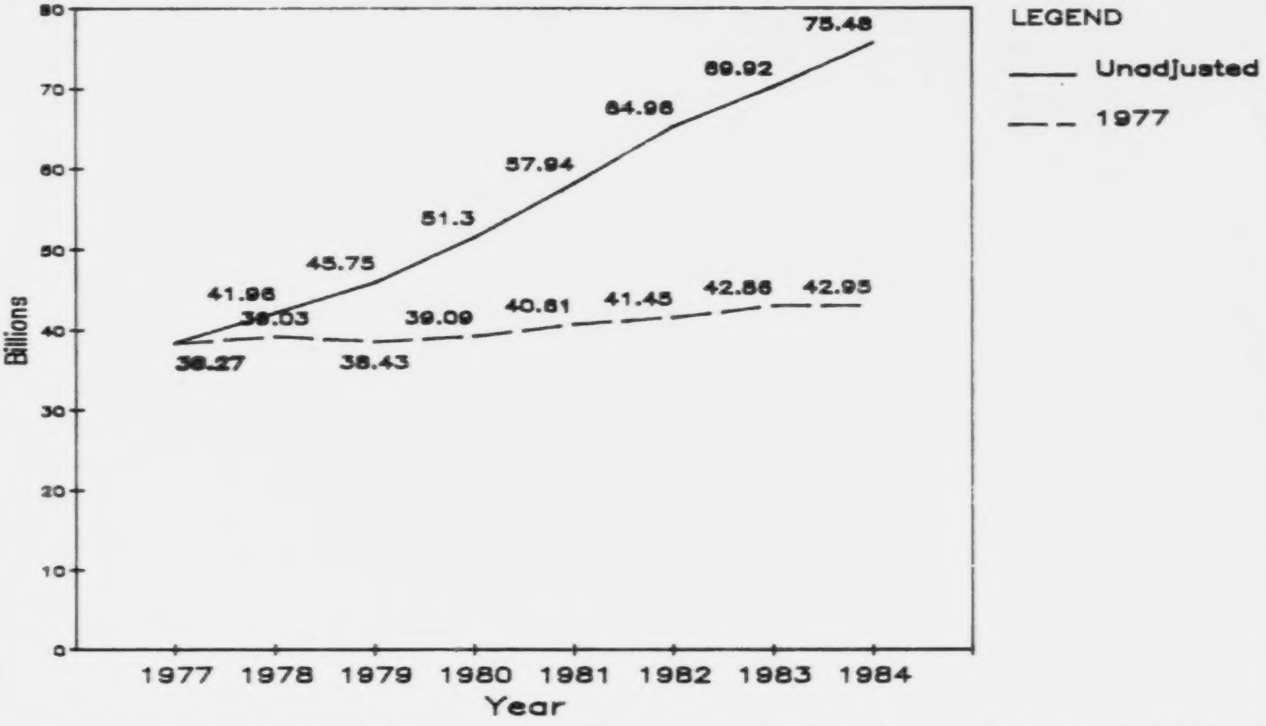
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



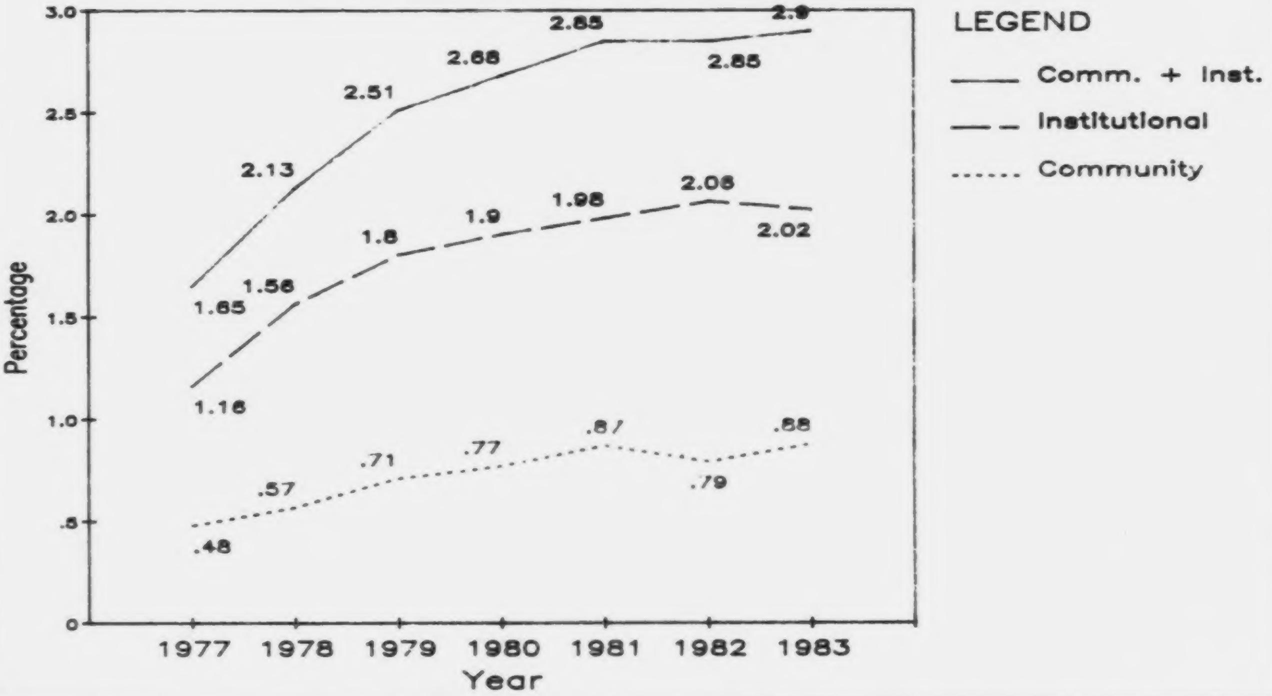
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



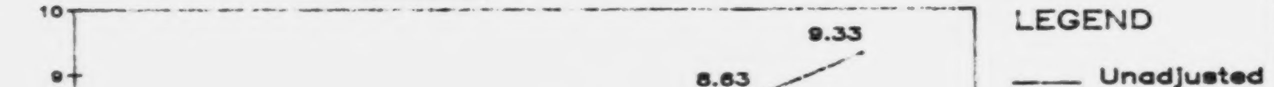
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

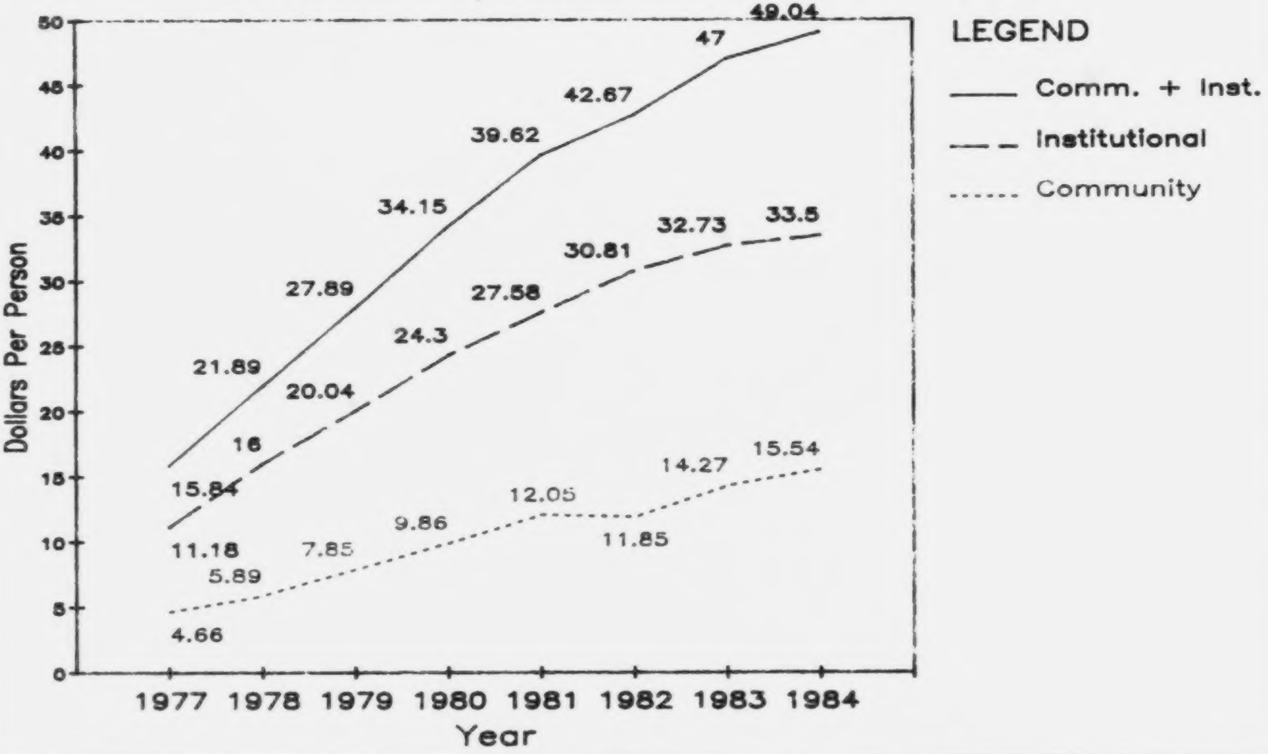


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

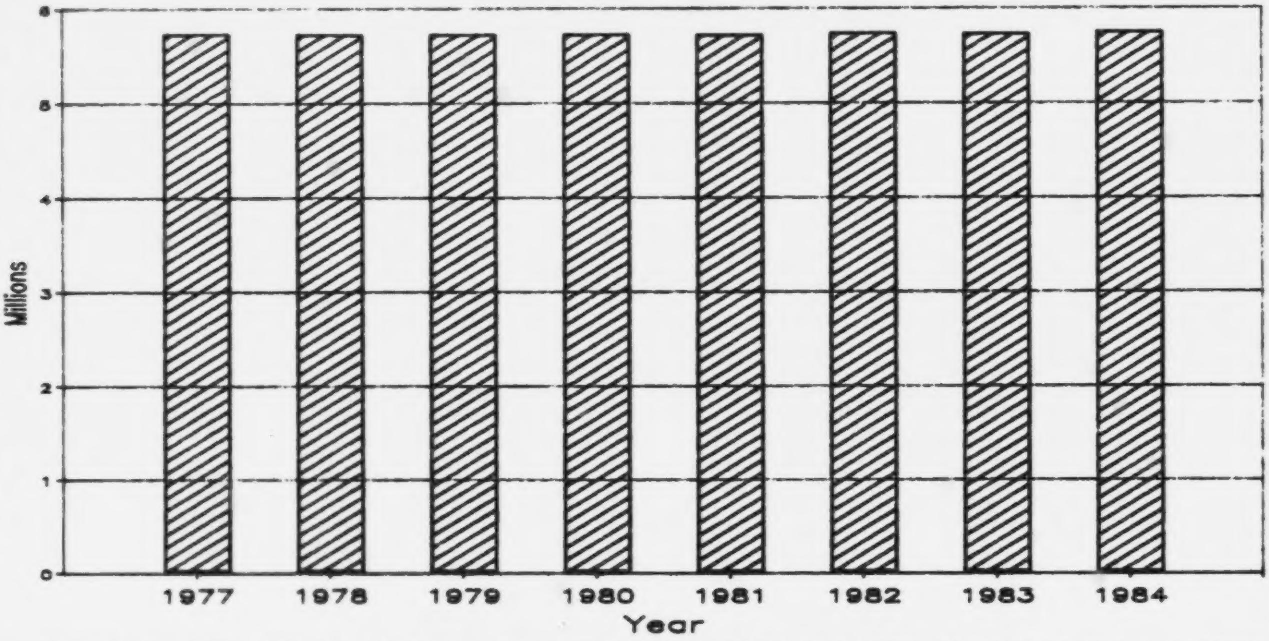


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

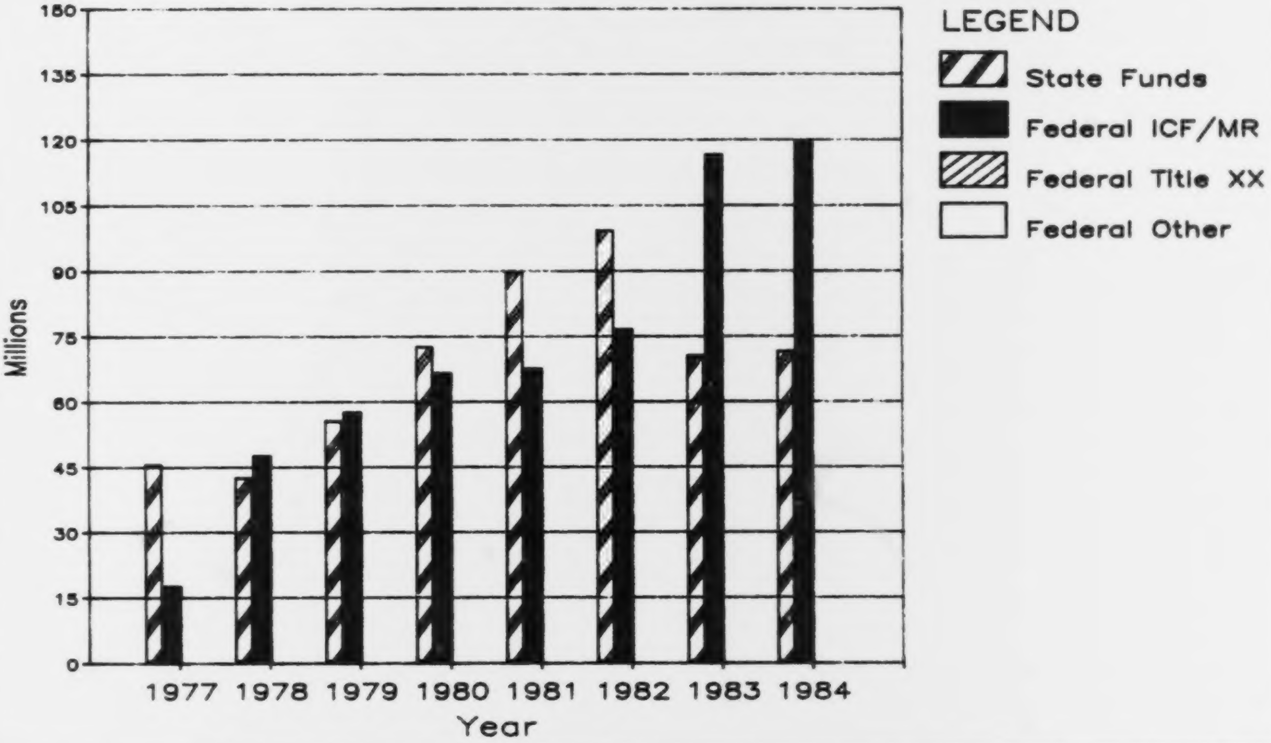


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

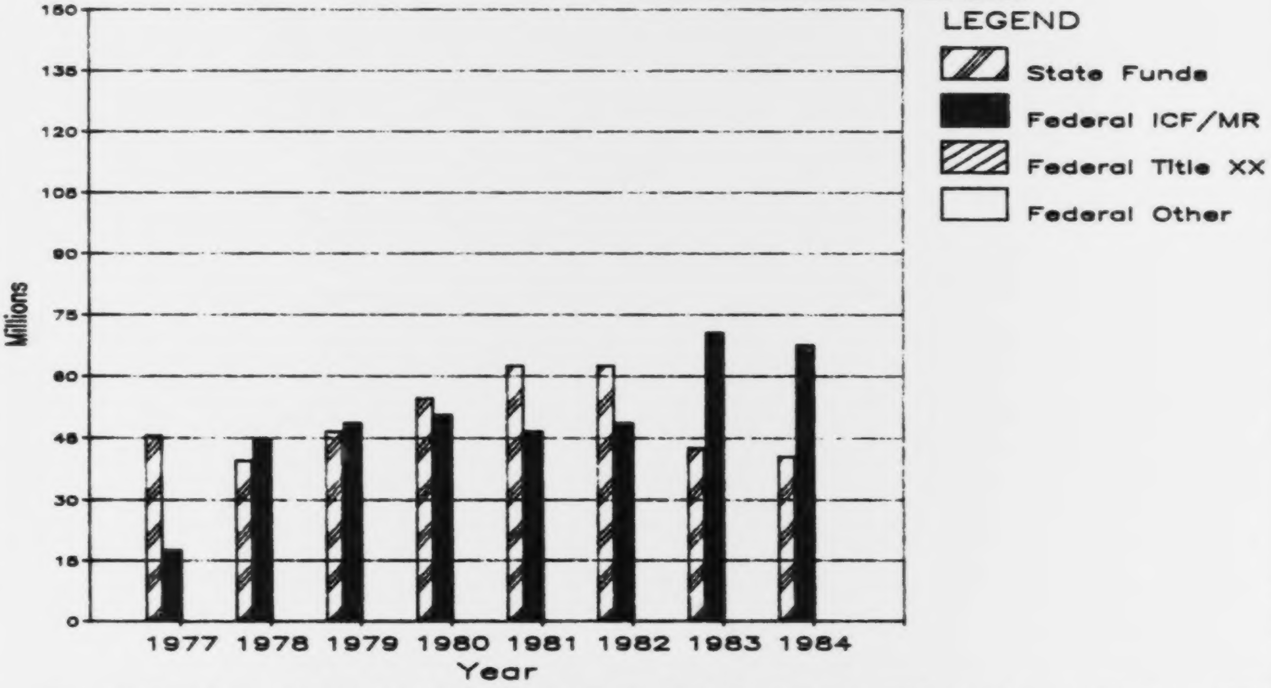
MASSACHUSETTS

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



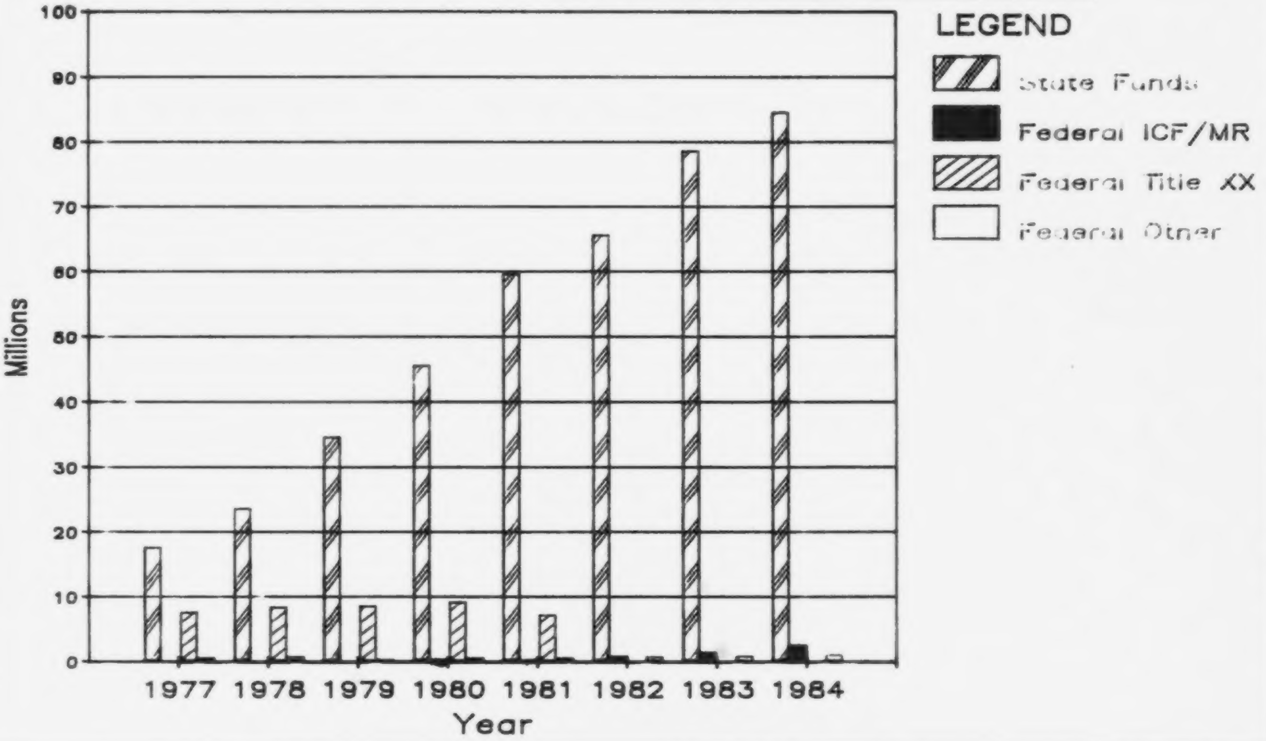
FY 1977–1984, *In 1977 Dollars*



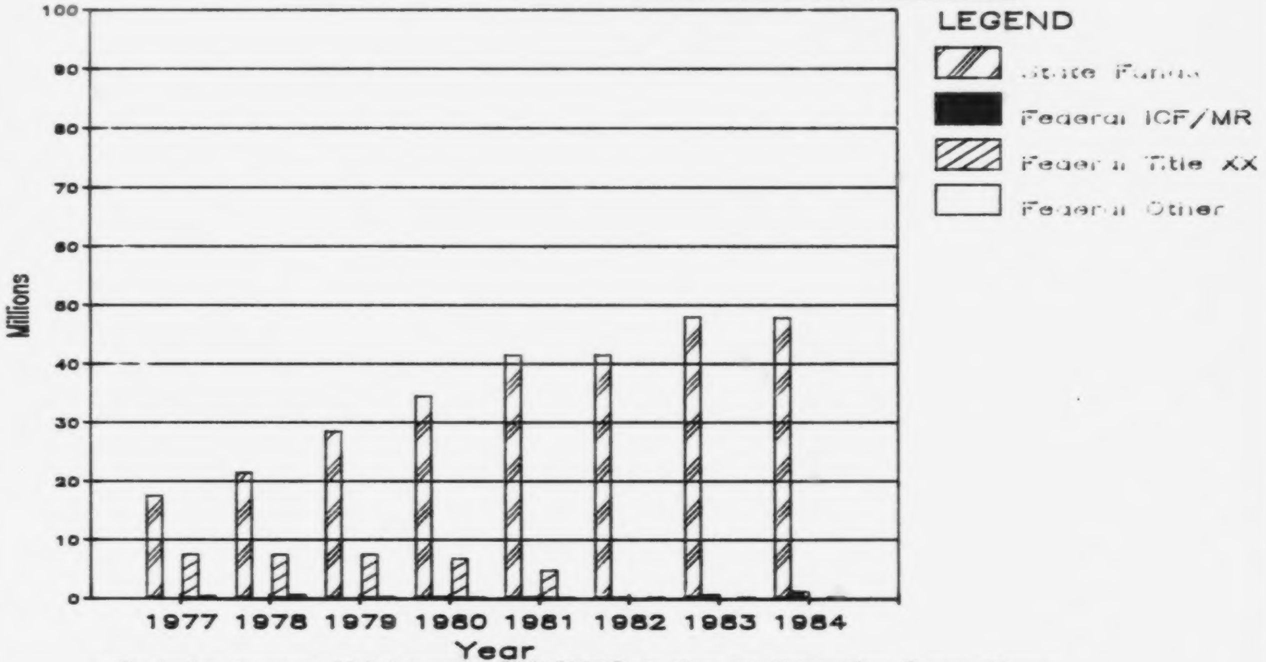
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



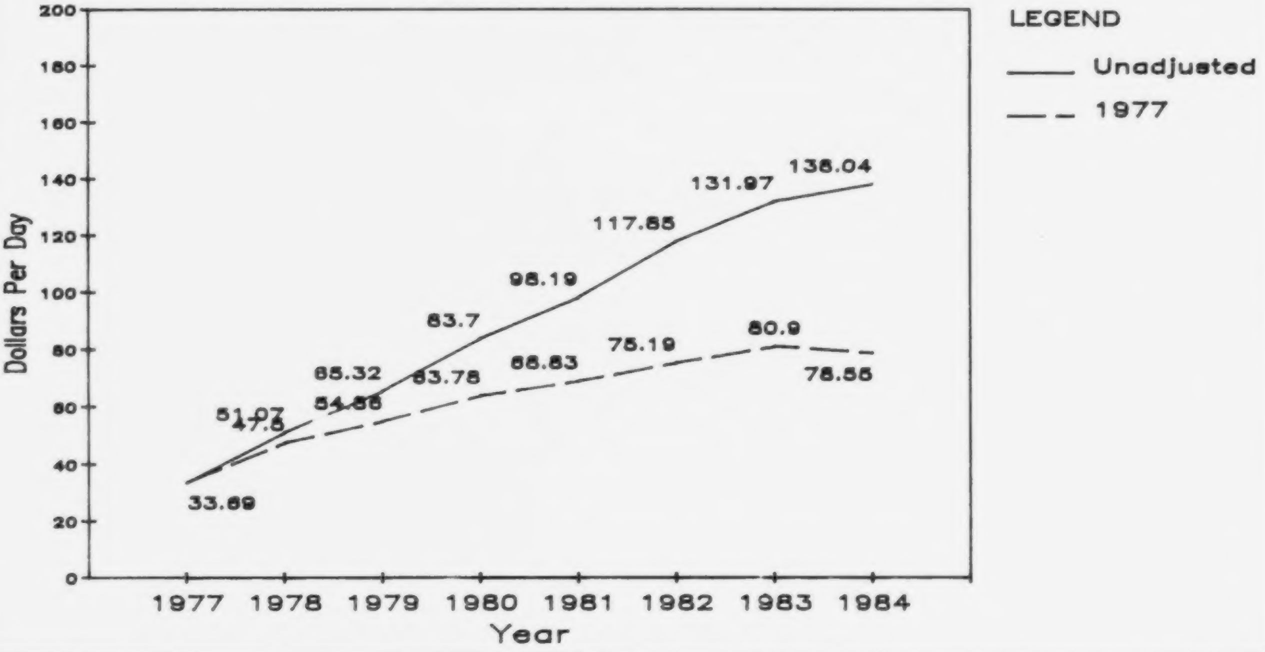
FY 1977–1984, *In 1977 Dollars*



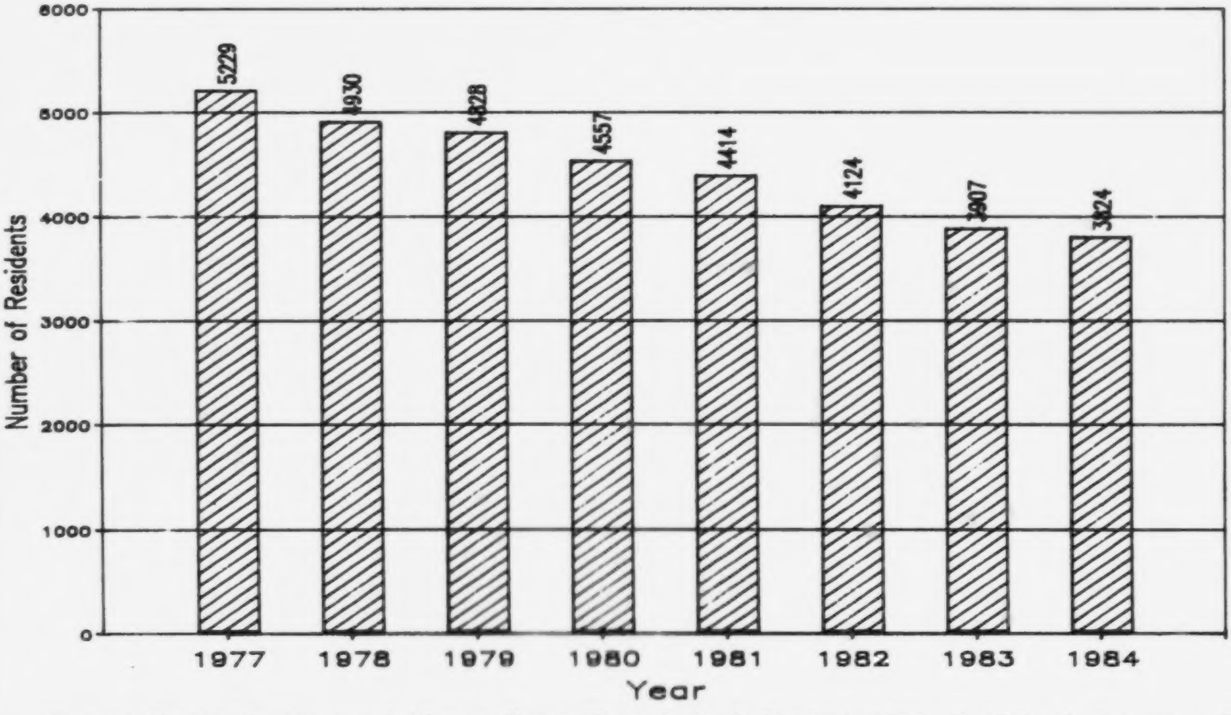
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MASSACHUSETTS

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Commonwealth of Massachusetts' services for mentally retarded and developmentally disabled individuals are managed by the Division of Mental Retardation, in the Department of Mental Health, which is under the direction of the Executive Office of Human Services. There are seven districts throughout the state, which oversee the five State Schools, the three State Centers, and the various community services components.

2. Budget Format: The Massachusetts budget documents (see Note 3 below for more detail on these sources) were broken into sections for "Revenue," "Personnel," "Agency Operations," "Non-Agency Costs," "Local Aid," "Debt Service" and "Federal Funds." At the beginning of the "Agency Operations" sections of the budget documents there was, for the years considered in the analysis, a "Department of Mental Health Agency Operations Summary Table," with the following format (c.f., page 61, Agency Operations section, Volume I, Executive Budget for FY `84):

   Administration
      Central and Regional
   Mental Health
      Community Programs
      State Hospitals
      Mental Health Centers
   Total, Mental Health and Administration

   Mental Retardation
      State Schools
      State Centers
      Administration
      Community Programs
   Total, Mental Retardation
   TOTAL DMH
     (Less-Departmental Revenue)

   Net State Cost

3. Note on Data Sources: Our project reviewed Executive Budget Recommendations of His Excellency -------, Governor, to the General Court of the Commonwealth of Massachusetts documents for Budget Years 1979, 1980, 1982 and 1984. These budget books provided expenditure figures identified as "expenses" in FY `77, FY `78, FY `80 and FY `82; "appropriations" in FY `79, FY `81 and FY `83, and "Governor's Recommendation" in FY `84.

   Although this budget format provided an apparently convenient insight into our planned analysis, the revenue detail was available only for the total DMH (see outline in Note 2 above), and state officials were contacted. Correspondence dated 11/15/83, and subsequent phone interviews, with Ms. Mary Fratto, Community Programs, Division of Mental Retardation, Department of Mental Health, provided the total Community and Institutional expenditure figures ("actual" for FY `77 -`83, and "appropriated" for FY `84). Expenditures for private, community-based Intermediate Care Facilities for the Mentally Retarded--ICF/MR, and for Title XX (Social Services Block Grant) services for MR/DD clients were obtained from other state officials (see Notes below).

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of the expenditures for Belchertown, Monson, Fernald, Wrentham and Dever State Schools; and the Gavin, Berry and Hogan State Centers. Total expenditures for each year were reported in 11/15/83 correspondence from Ms. Fratto.

   The budget documents provided mid fiscal year (January 31st) population figures for the State Schools and State Centers (aggregated):

   FY 1977 - 5,229
   FY 1978 - 4,930
   FY 1979 - 4,828
   FY 1980 - 4,557
   FY 1981 - 4,414
   FY 1982 - 4,124
   FY 1983 - 3,907
   FY 1984 - 3,824--as of 10/31/84

4. Title XIX Federal share ICF/MR revenue figures were reported 11/30/83 by Mr. Dave Cox, Assistant Director, Budget Bureau of the Commonwealth of Massachusetts (see also Note 5 below). Since these Federal Revenues are included in the "Departmental Revenue" figures as a transfer "on the books" from the Department of Public Welfare, they have, in the present analysis, been subtracted from total Institutional expenditures, leaving a balance consisting of State General Fund Institutional expenditures in our analysis.

5. Construction. Included in the Title XIX ICF/MR Federal revenues and state match is the amortization of capital construction costs, resulting from a significant capital improvement program at the state schools. These capital improvements began in 1972, after the first consent decree. For the period of our analysis, these are amortized within Institutional Services expenditures, consistent with Medicaid reimbursement procedures affecting the State. Expressed as expenditures in the years they occurred (rather than as amortized), the capital improvement costs would be ($ in thousands):

   1972 - 1976: $7,000
   1977: 9,700
   1978: 5,900
   1979: 15,400
   1980: 30,600
   1981: 20,800
   1982 - 1985: 70,100 (projected)

   TOTAL: $159,500 (in thousands of dollars)

   Cox (telephone interview, 11/30/83) noted that, due to a provision in the Title XIX reimbursement process, and related to the consent decrees, HCFA has allowed accelerated collection of the Federal reimbursement. Thus, as originally reported, the revenue figures were ($ in thousands):

   FY `83: $135,509.0
   FY `84: $102,149.0

   Cox recommended that $18.5 million be subtracted from the FY `83 figure, and added to the FY `84 figure in our analysis. This better reflects annual operational costs and therefore the anticipated annual reimbursements.

III. COMMUNITY SERVICES

6. Community Services consists of the Department of Mental Health's funding of community residences, early intervention services, staffed apartments, and co-operative apartments. Private ICF/MR funds, which are managed by the Department of Welfare, are included (see Note 10 below). However, not included in the current analysis are Title XIX funds for Day Habilitation Programs (also administered by the Department of Welfare). These expenditure figures were reported by a DPW official (Kerry Gardner, 11/18/83), and are included below for information only:

Title XIX Day Habilitation Programs and Expenditures
($'s in thousands).

YEAR:	TOTAL$	FEDERAL$	STATE$	# OF PROGRAMS*
1980**	500.0	258.8	241.2	3
1981**	1,000.0	517.5	482.2	6
1982	2,211.0	1,184.2	1,026.8	12
1983	3,309.0	1,772.3	1,536.7	19
1984	4,635.0	2,323.5	2,311.5	23

NOTES: * There are approximately 30 clients per program
** `80 and `81 were the first two years of operation--expenditures and the number of programs were estimated (Mark Ostrowsky, Division of MR, telephone interview, 11/18/83.

7. Title XIX. The Division of MR anticipated approval from HCFA of the Community Care Waiver during 1984. The Waiver application requested that a total of 914 individuals be served in alternative community programs over the next four years. The Department of Mental Health would have fiscal responsibility for the Waiver services (Fratto, 11/16/83); however, no expenditure projections are included at this time in our analysis.

8. Title XX. The Federal Title XX figures were obtained from the Commonwealth of Massachusetts Comprehensive Annual Social Service Plan, Title XX for FY `78, FY `79, FY `80, FY `81 and FY `82 (Final Editions). MR/DD client numbers and expenditure figures were available only in the FY' 78 document (FY `77 "actual" and FY `78 "estimated"), so the following method was utilized to extrapolate FY `79-FY `81 figures:

First, Total State-wide Services figures (exclusive of administration) were obtained for each year, along with Federal Title XX revenue, and the Federal revenues, as a percentage of total expenditures, was calculated ($ in thousands):

State Fiscal Year	State-wide Expend.	Federal Revenue	Percentage
FY 1977	$107,222.0	$68,762.5	64.1%
FY 1978	113,468.0	68,250.0	60.1%
FY 1979	141,253.0	78,479.0	55.6%
FY 1980	167,710.0	72,163.4	43.0%
FY 1981	189,014.0	76,787.0	40.6%

Second, the total DMH (including MR/DD) expenditures were found for each year in the Comprehensive Annual Plans; MR/DD expenditures were available for FY `77 and FY `78 only, so that MR/DD expenditures as a percentage of total DMH expenditures for these two years were averaged, and this result was utilized for the FY `79-`81 calculations ($ in thousands).

State Fiscal Year	DMH Total Expend.	MR/DD Expenditure	Percentage
FY 1977	$15,398.0	$12,349.0	80.2%
FY 1978	19,451.0	14,724.0	75.7%
FY 1979	21,468.0	16,745.0 (estimated)	78.0%
FY 1980	28,597.0	22,305.7 (estimated)	78.0%
FY 1981	24,058.5	18,765.6 (estimated)	78.0%

Finally, the Federal revenue percentages, from the first step above, were applied to the actual FY `77, `78 MR/DD expenditures and to the estimated FY `79-`81 expenditures, to arrive at the estimated MR/DD Federal Title XX revenues for FY `77-`81 in our analysis.

This process for calculating estimated MR/DD Title XX expenditures was reviewed in a 12/5/83 telephone interview with Ms. Julia Herskowitz, Director of Planning, Evaluation and Monitoring Unit, Department of Social Services. She noted that the increase for DMH Title XX in FY `80 ($28,597,000--see table above) was related to consent decrees. She noted that the former Department of Public Welfare in FY `77 through FY `80, and the Department of Social Services in FY `81 had provided the State match to the Federal dollars. This 25% match has been included in our analysis as Other State Funds.

Note on FY `82-`84 Title XX: The ASP Plan for FY 1982 of the Department of Social Services, dated April 1, 1981, notes (p. X-6) that: "The Department of Mental Health ceased its participation in the Title XX program July 1, 1981. The Department will continue to provide the same services, funded from a state appropriation."

9. Other Federal Funds were reported (11/30/83 telephone interview) by Cox. He noted that the funds were primarily Developmental Disabilities grants.

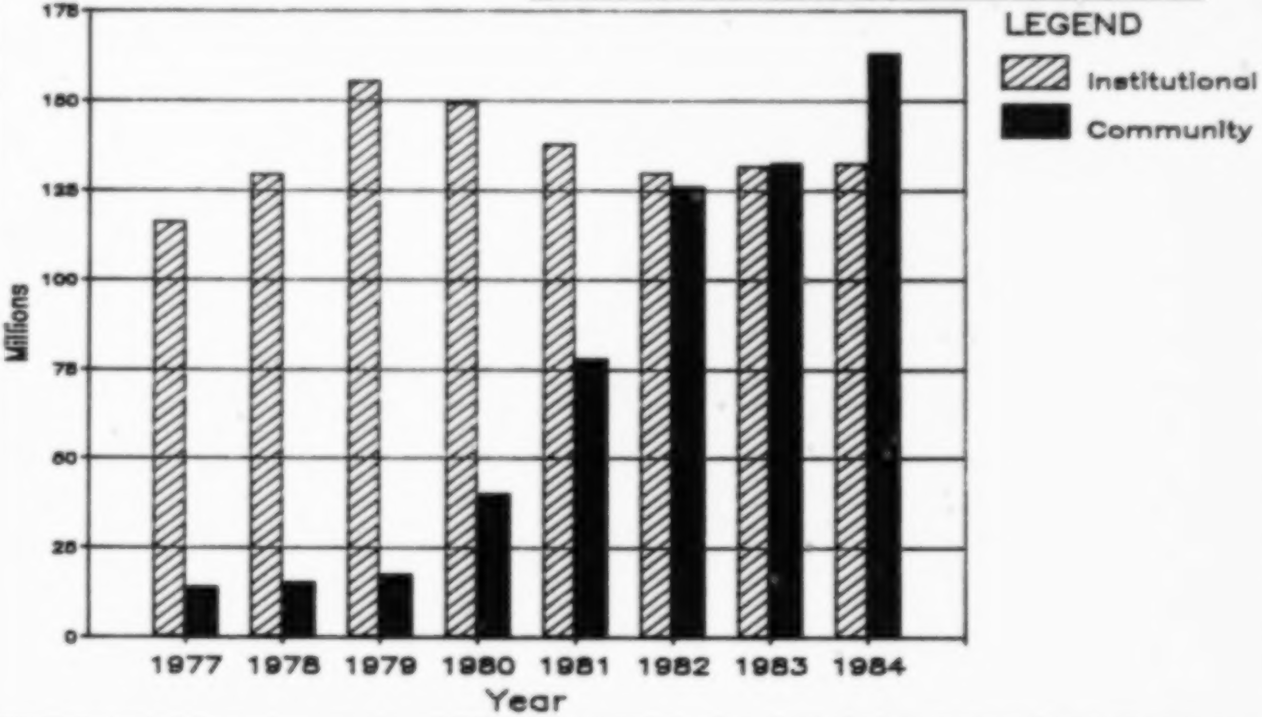
10. Private ICF/MR expenditures were reported 11/18/83 (telephone interview) by Kerry Gardner, Department of Welfare. These expenditures are for small (8-bed) ICF/MR facilities, which Massachusetts categorizes as ICF/MR "A" (conforming to the National Fire Protection Association's Institutional Occupancy Life Safety Code and costing approximately $45,000/resident/year) or ICF/MR "B" (utilizing the NFPA's Residential Occupancy Life Safety Code and costing approximately $35,000/resident/year). The number of facilities for which the expenditure figures are reported are:

1977 - 1979 : no program
1980 : 2 "A" facilities
1981 : 3 "A" and 3 "B" facilities
1982 : 3 "A" and 6 "B" facilities
1983 : 4 "A" and 12 "B" facilities
1984 : 9 "A" and 15 "B" facilities (projected)

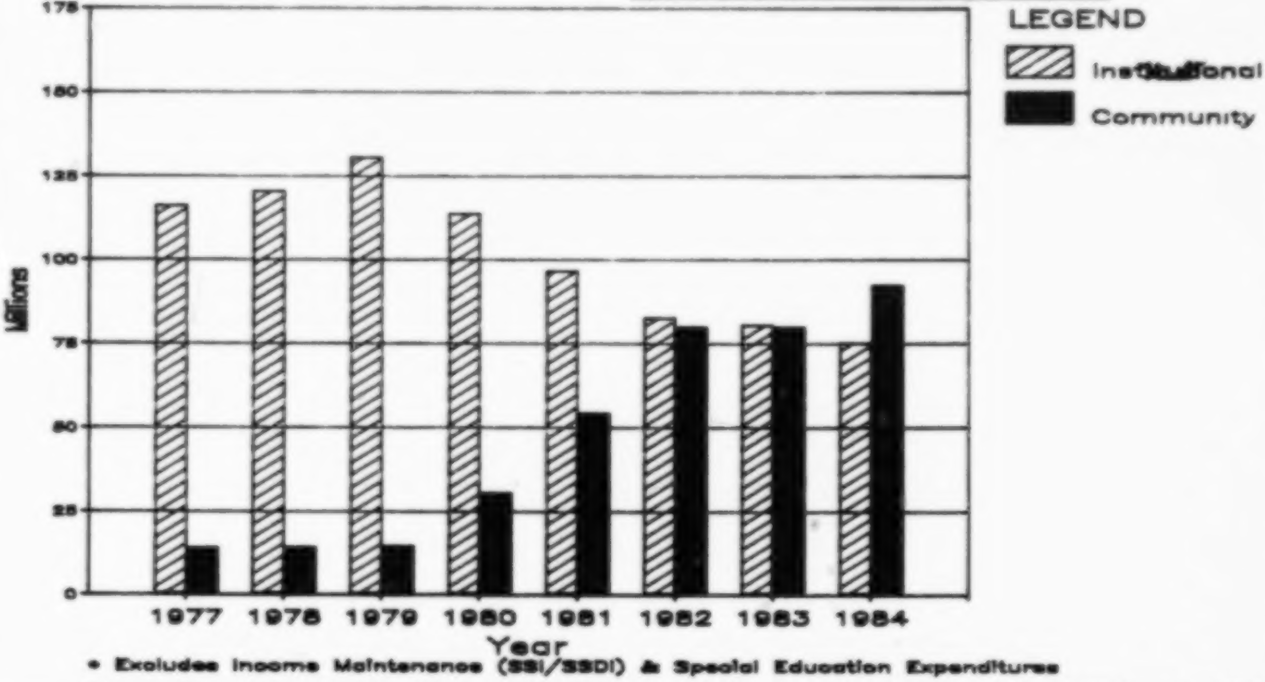
MICHIGAN
STATE PROFILE

MICHIGAN

Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

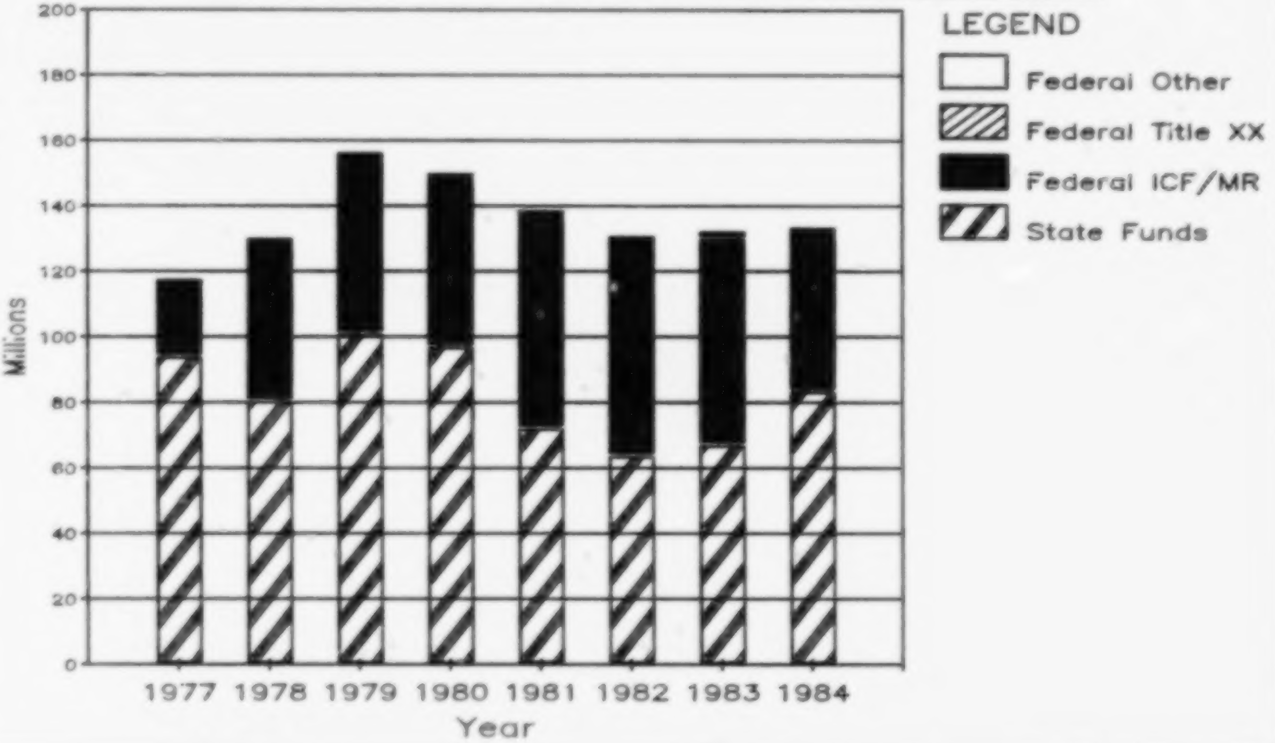


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

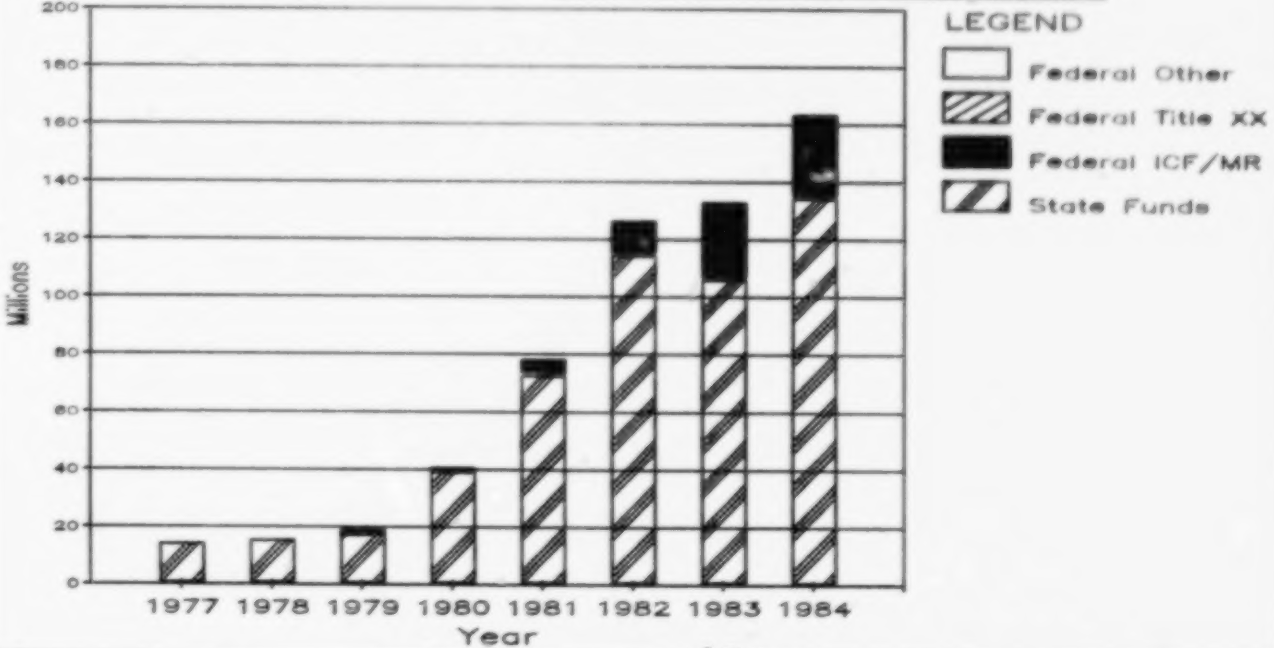
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN

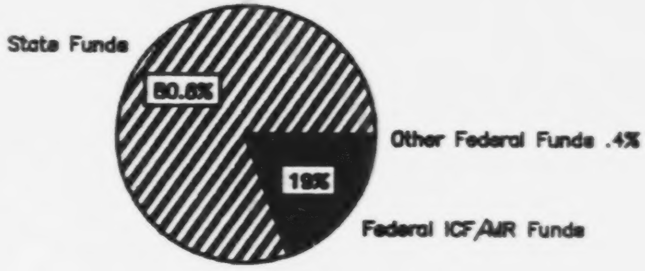
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



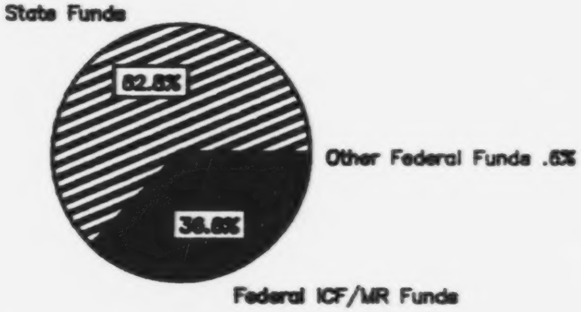
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



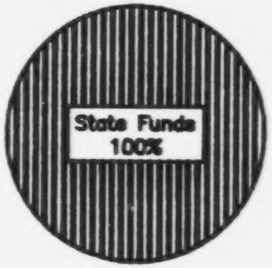
MICHIGAN
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



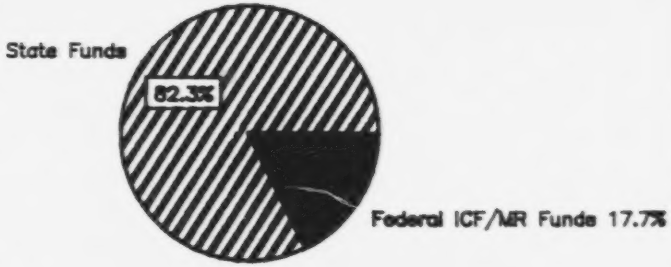
Institutional Funds 1977: $117 Million



Institutional Funds 1984: $133 Million



Community Funds 1977: $15 Million

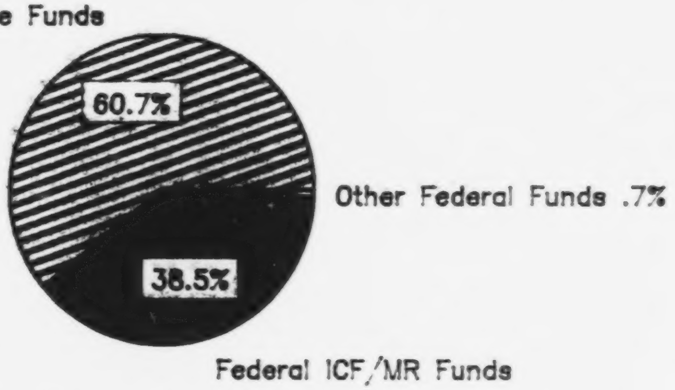


Community Funds 1984: $164 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

MICHIGAN
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

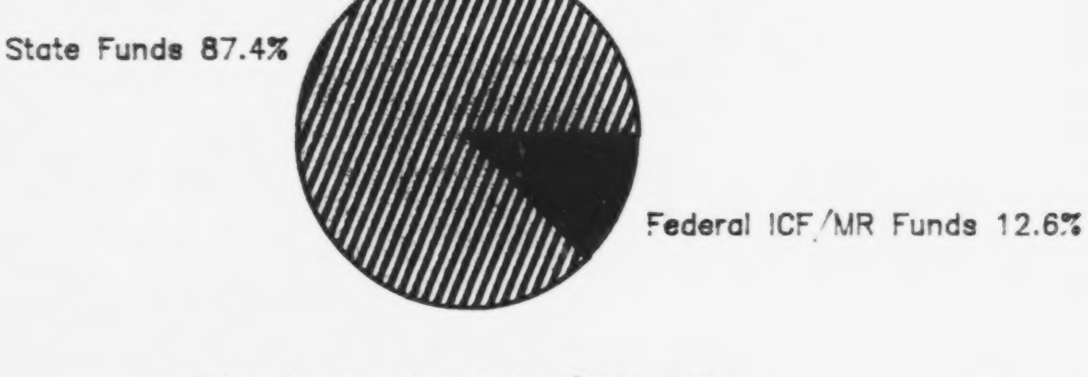
Institutional Services Funds



Total Institutional Funds: $1.1 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

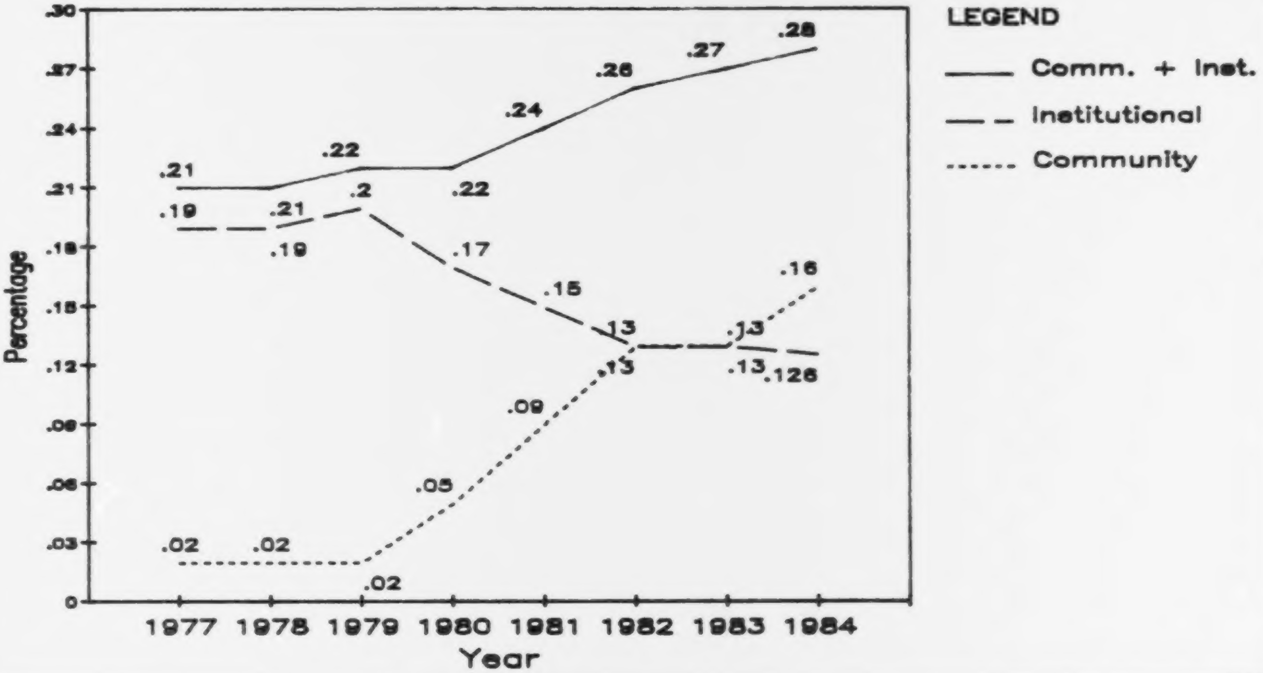


Total Community Funds: $.593 Billion

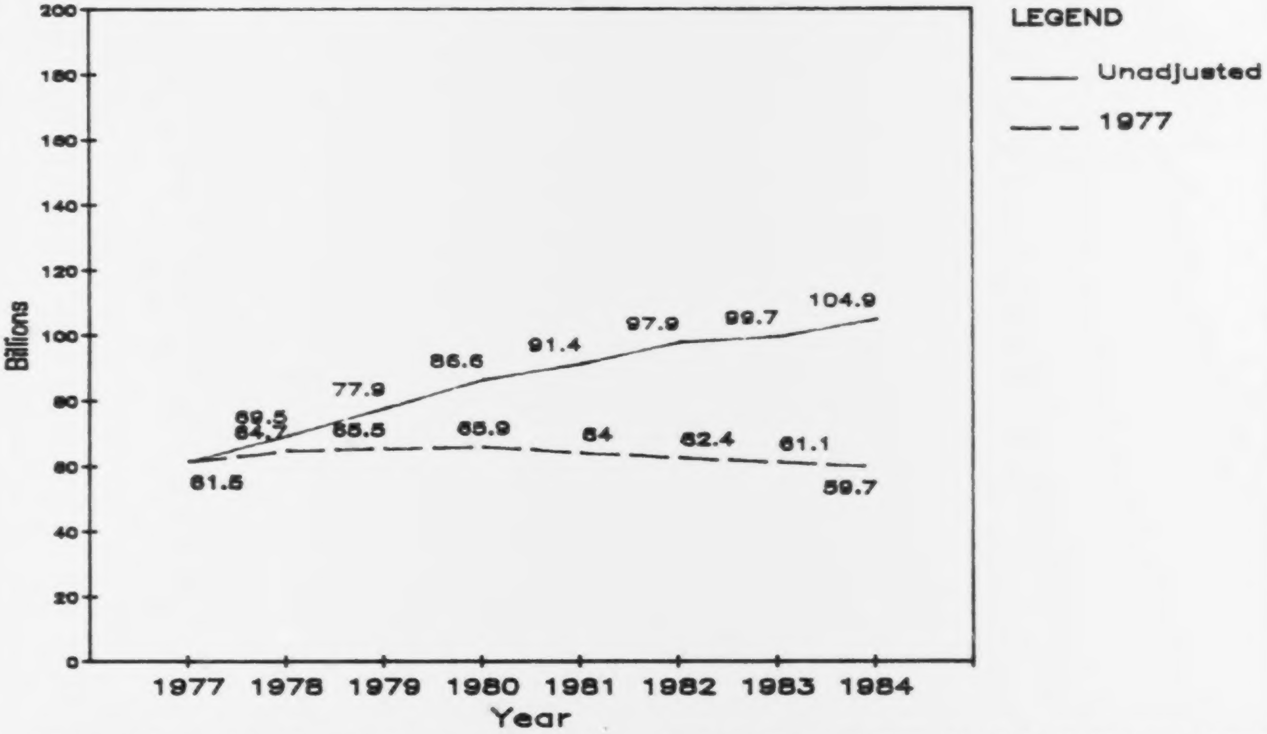
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1982



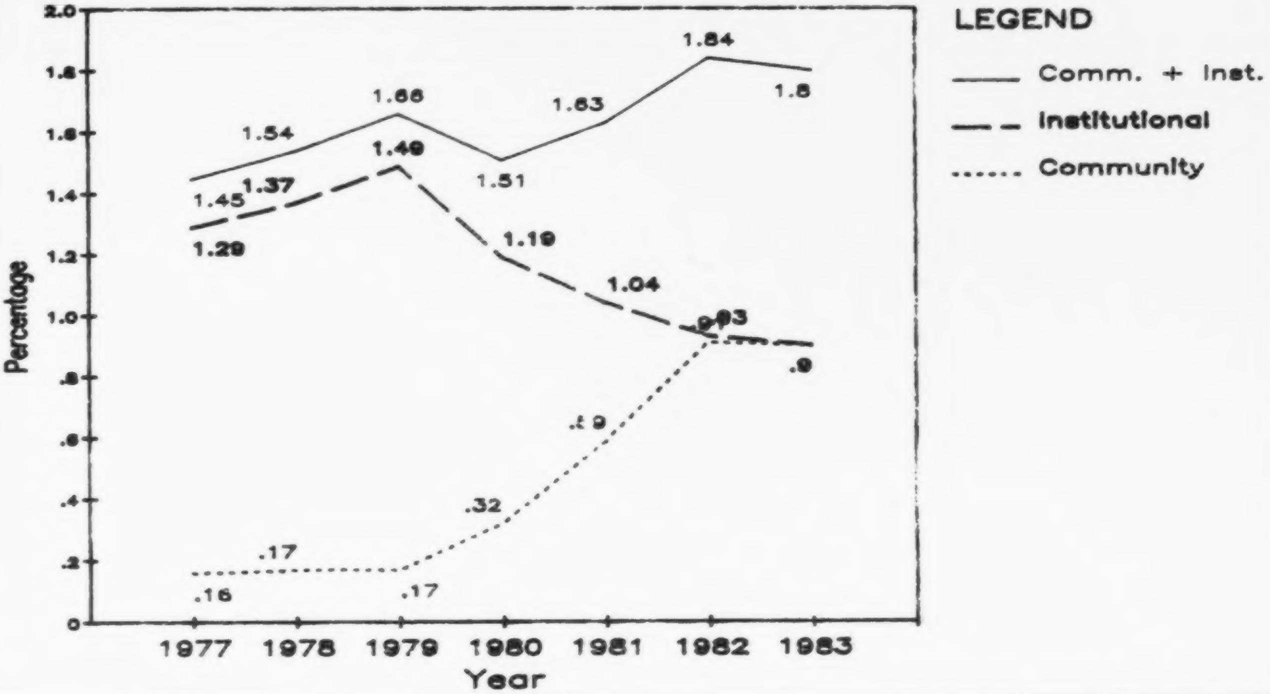
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1982



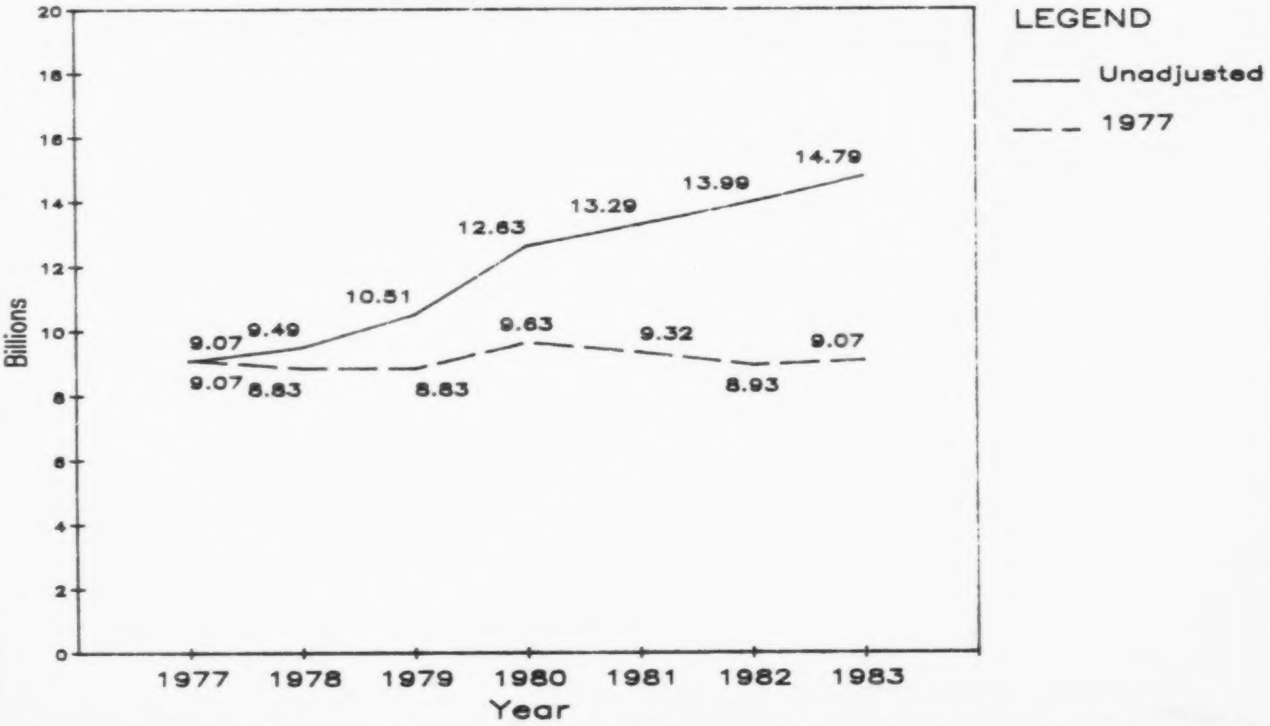
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



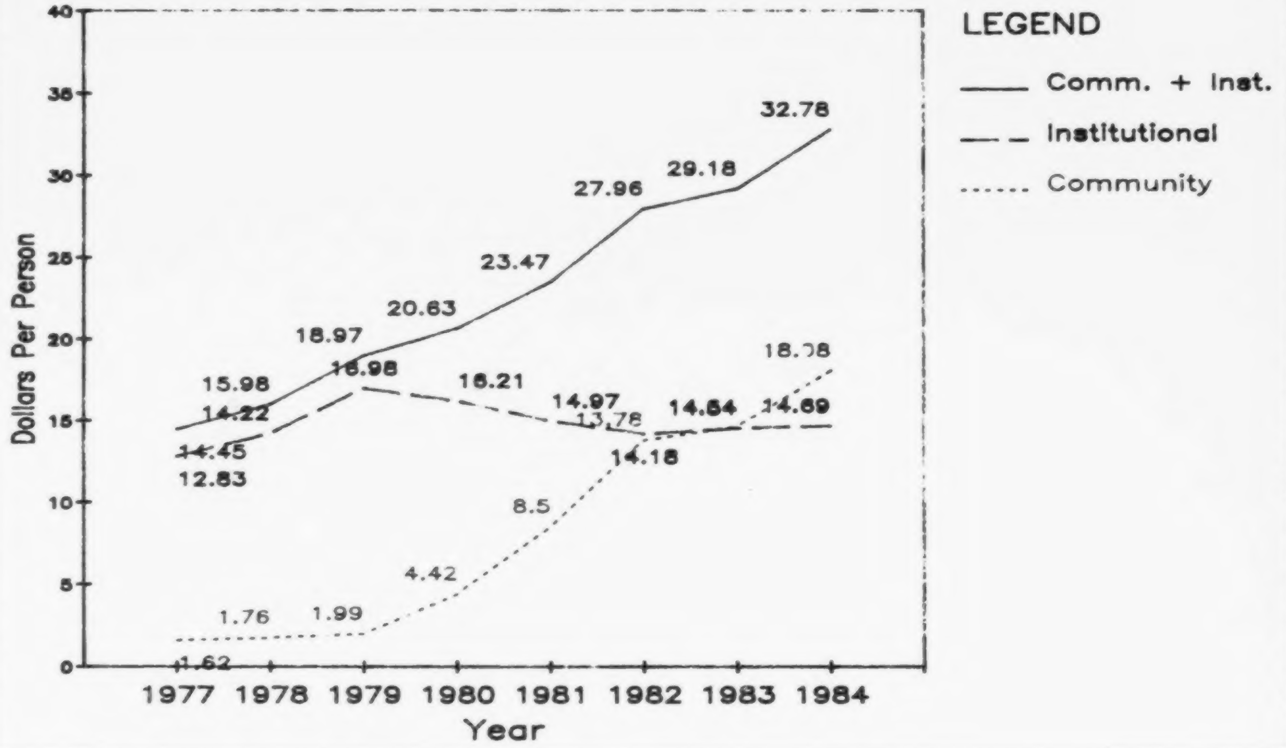
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



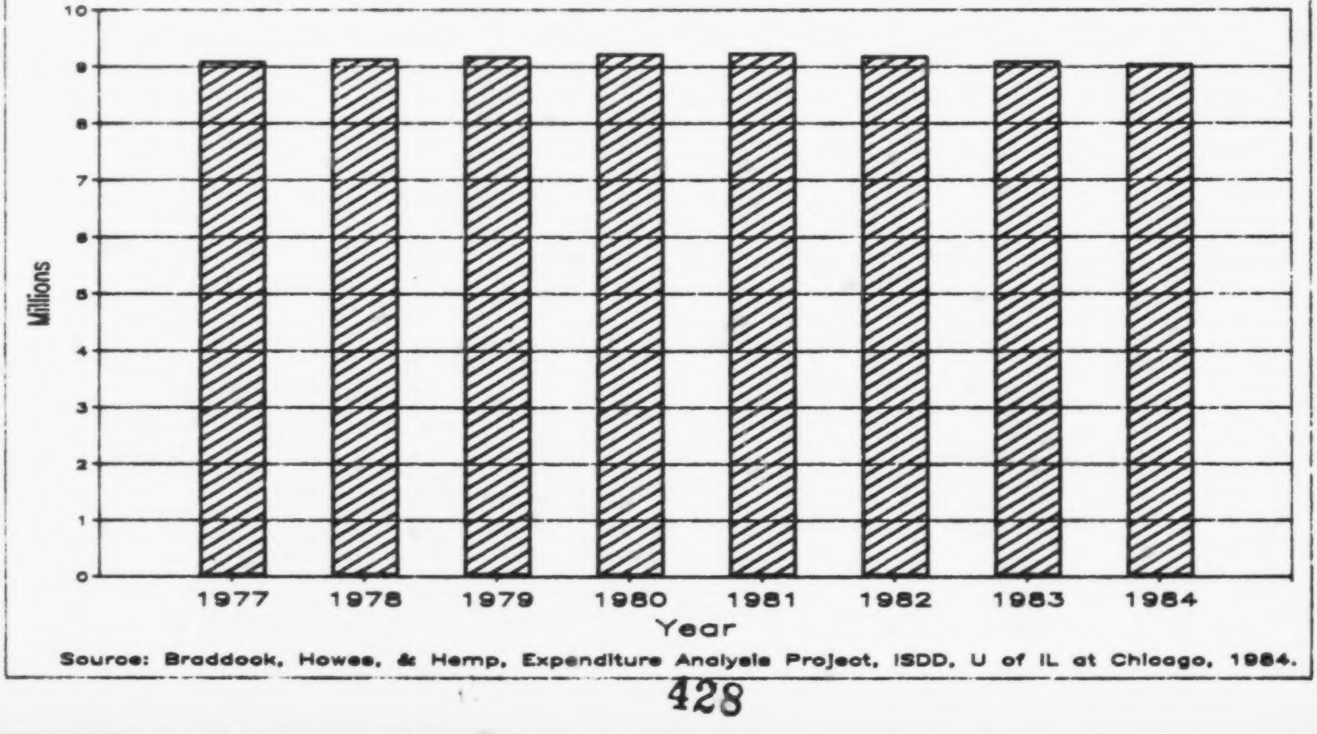
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



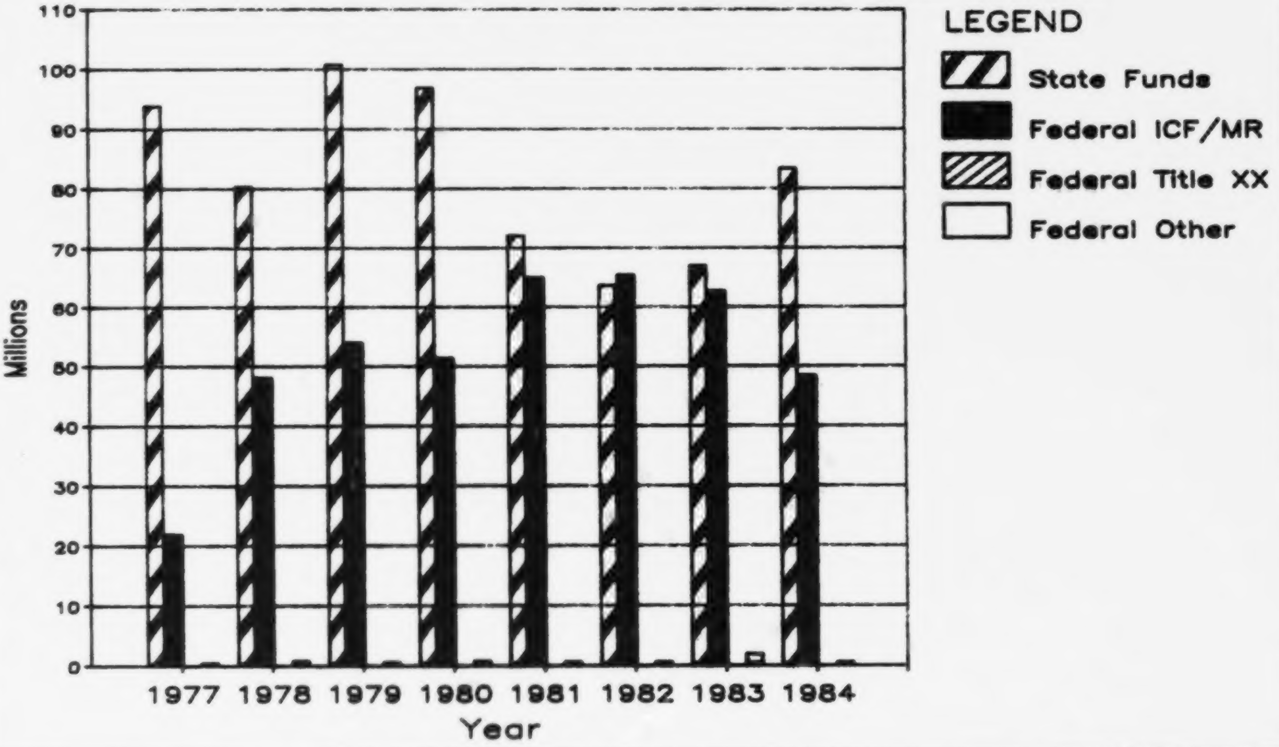
The Total State General Population FY 1977–1984



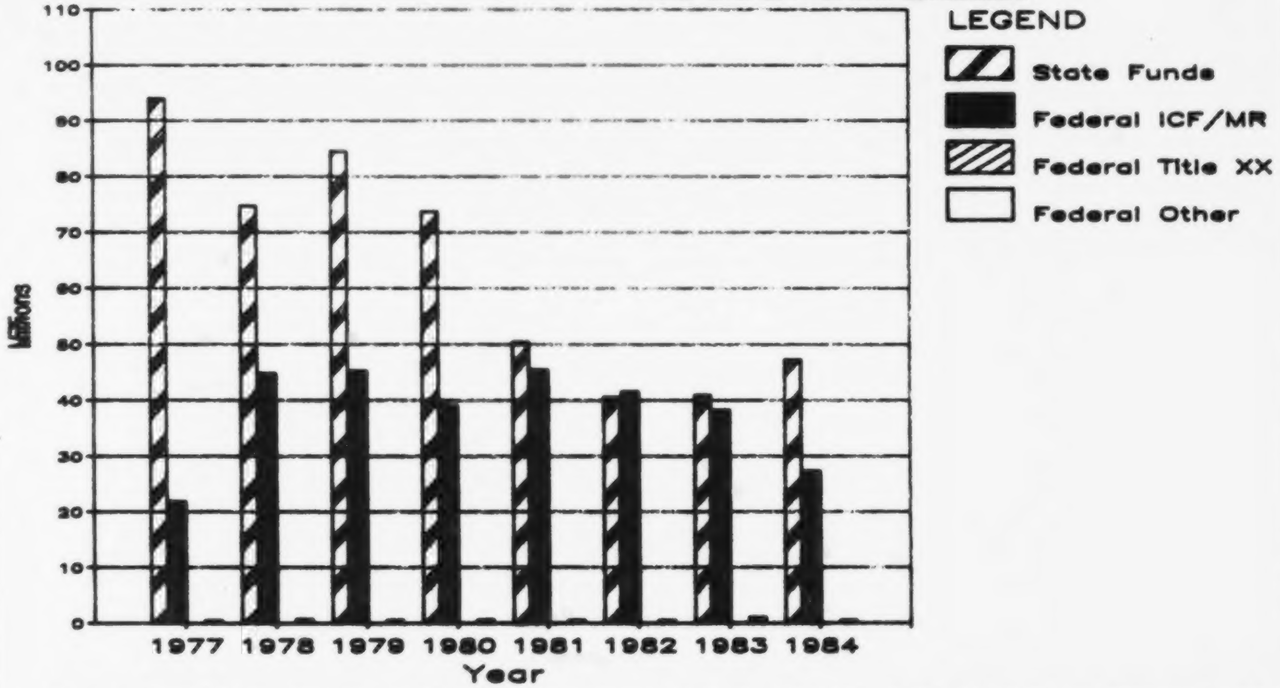
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

MICHIGAN

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

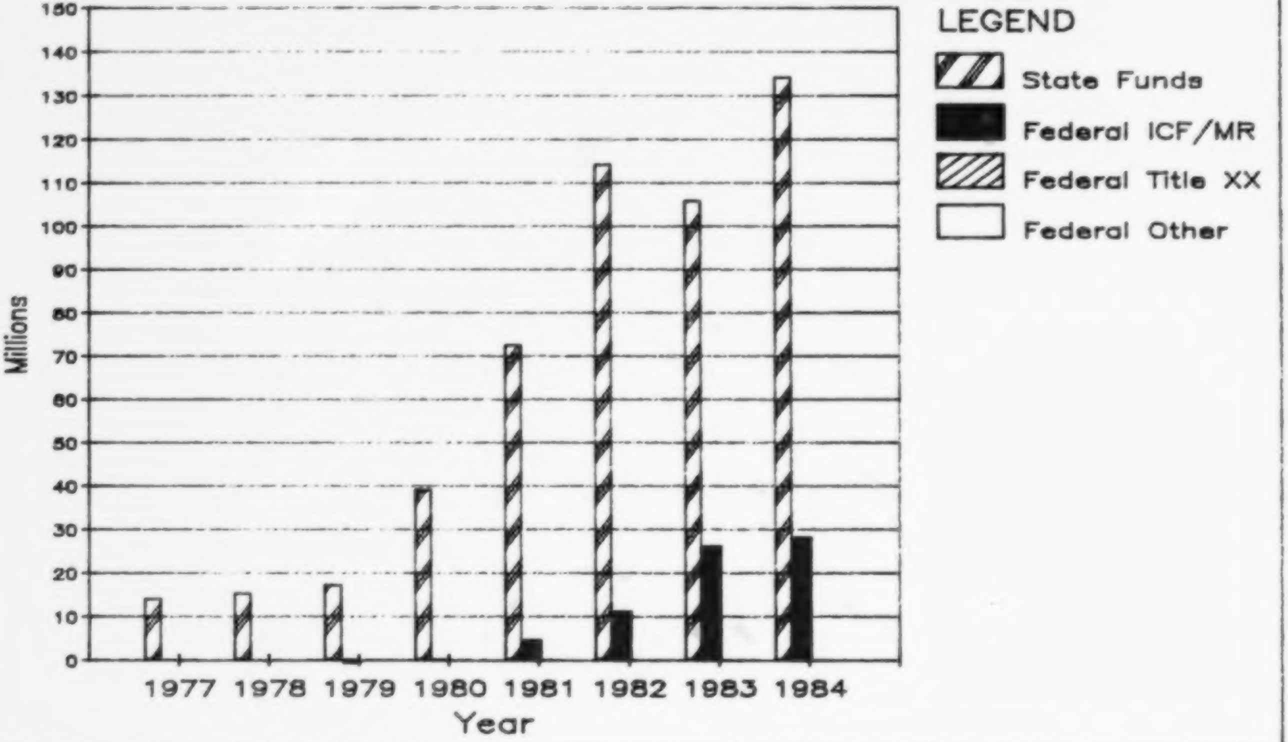


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

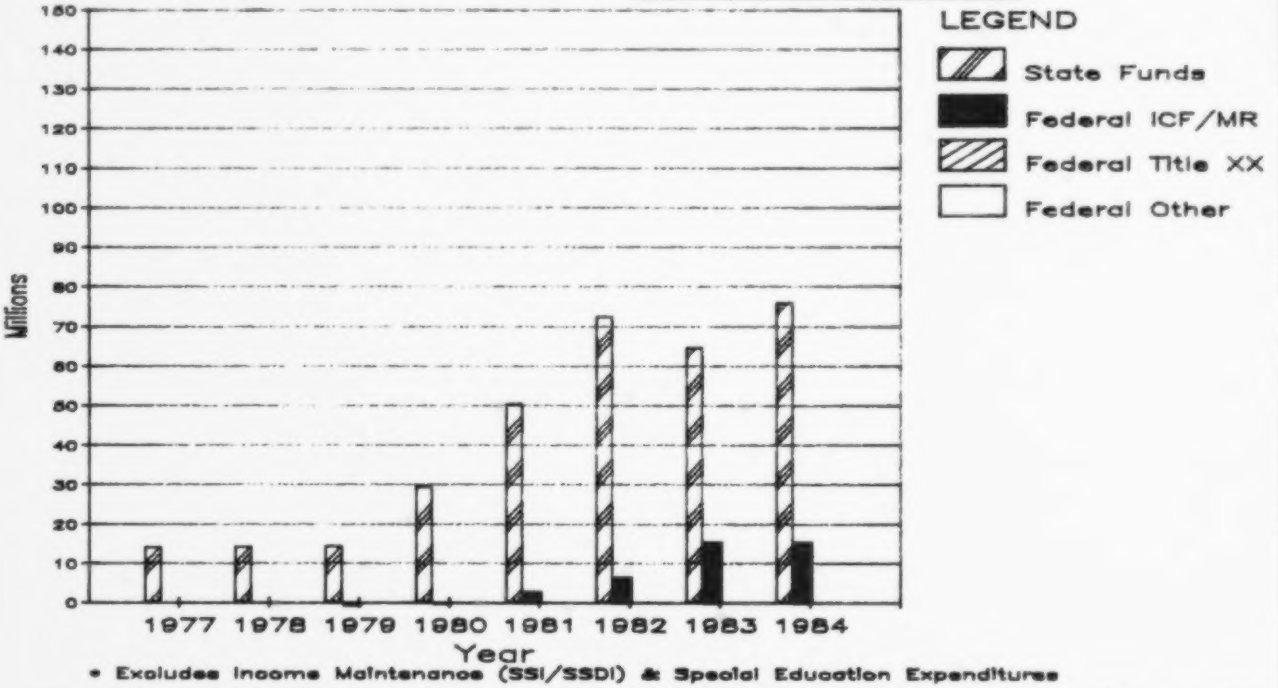
MICHIGAN

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



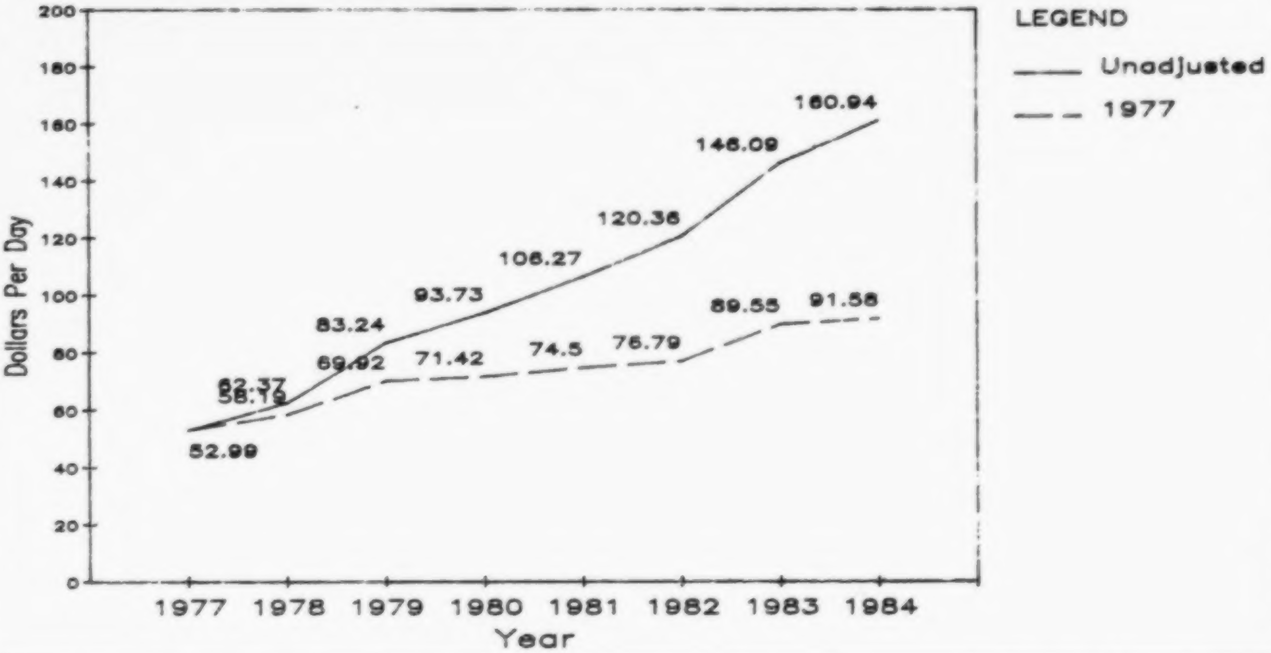
FY 1977–1984, *In 1977 Dollars*



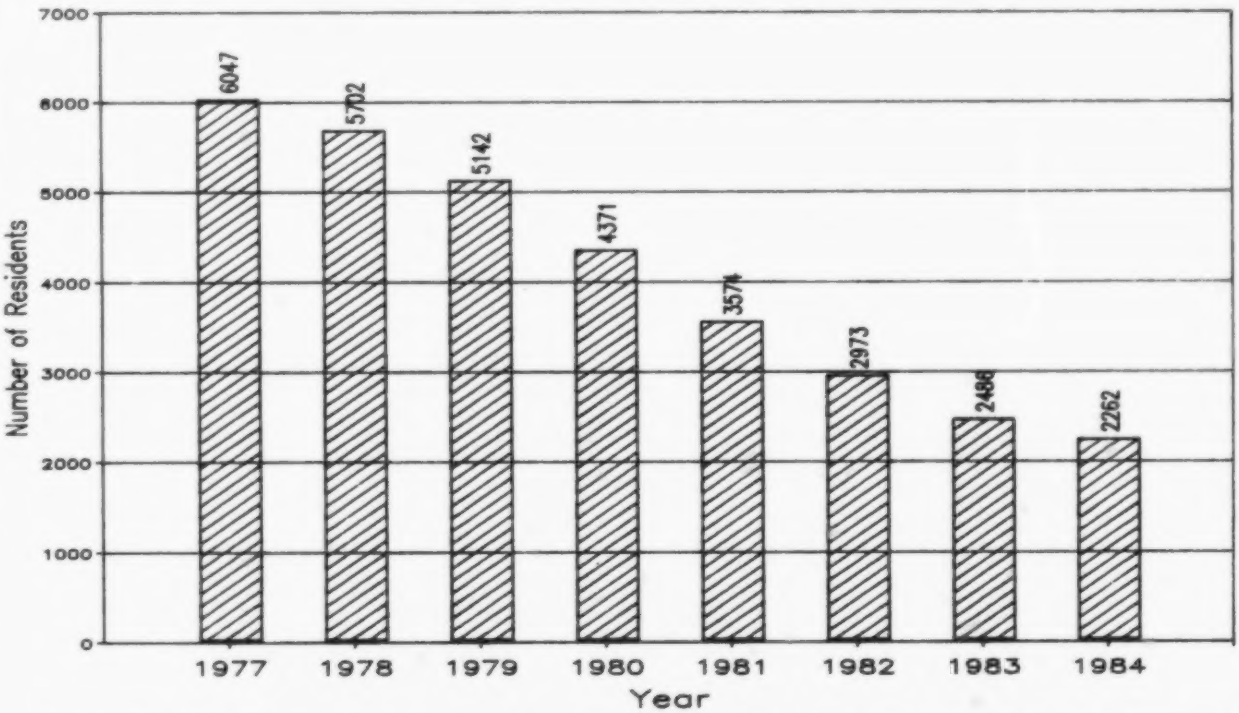
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MICHIGAN

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Developmental Disabilities services are located under the Office of Program Development and Support Systems, which is in the Department of Mental Health.

2. Budget Format: The Governor's Executive Budget does not present expenditure data. Therefore, we used the annual Appropriations bills for DMH, and the Supplemental Appropriations bills, as our basic source documents for expenditures. All figures are based on actual appropriations, adjusted for supplemental appropriations. However, figures are not adjusted to included Departmental reductions contained in Executive Orders issued in Fiscal Years 1980-83. According to J. Morris Hickman, Director of the DMH Budget Allocation Control Division (telephone, 8/25/83), these reductions were distributed across all accounts and probably amounted to less than 5% in any one account.

   The Department of Mental Health Appropriations Bill includes the following sections pertinent to DD Community and Institutional services funding:

   Department of Mental Health
   - Executive Program
   - Developmental Disabilities
   - Special Projects
   - Community Mental Health Program
   - Residential Services
   - Residential Services Support
   - Institutional Services
   - Oakland Medical Center (FY `77-`79 only)
   - Central Account-Centers for DD
   - Discretionary Fund
   - Separate listing for each institution (see Note 3)
   - ICF/MR
   - Inpatient Care and Alternative Programs
   - Reduction Adjustment

3. Note on Data Sources: Many of the program elements listed above, such as "Institutional Services" and "Residential Services," combined appropriations for MH and DD purposes. To determine expenditures, DMH officials had to be consulted. The Appropriations bills did, however, provide considerable detail on sources of funding, such as:

   - State General Fund/General Purpose
   - Recipient Fees and Third-Party Reimbursements
   - Departmental Discretionary Funds
   - Lease/rental revenue
   - Gifts and bequests
   - Federal Revenues
     - HHS-HCFA, Medical Assistance Program (Title XIX)
     - Intermediate Care Facilities for the Mentally Retarded
     - DAG-FNS, National School Lunch Program
     - DED-OESE (ESEA, Title I).

   Our data do not reflect funds for central state administration, nor do they include the 10% local county matching figures.

II. INSTITUTIONAL SERVICES

4. Institutional Services includes funding for:

(1) 12 state DD Centers;

(2) 30% of the expenditures under "Institutional Services" in the budget, which is the central account for both Mental Health and DD institutions for such things as equipment and travel;

(3) Sixty percent of the "Reduction Adjustment" and "Discretionary Fund" lines in the Budget which were established in FY `83 to meet state cutbacks;

(4) "Special Dual Program Services" which is a program on institutional grounds for clients who are both mentally ill and developmentally disabled;

(5) "Central Accounts-Centers for DD" which contains the federal revenue for the school lunch program plus state revenue for food, drugs, fuel, etc. for all DD institutions;

(6) "ICF/MR" account which contains the federal Title XIX funds for ICF/MRs;

(7) "Discretionary Fund for Facilities for MR" which is all general fund monies which are allocated by the DMH Director to meet ICF or court-ordered standards (this Fund appears only in FY 1979); and

(8) "Special Programs/Behavior Intervention" which consisted of two programs, in FY '80 only, at existing state facilities, to treat severely retarded adults and children who exhibited aggressive behavior.

The source for the percentage estimates in (2) and (3) was Hickman (telephone, 8/25/83). Hickman (telephone, 2/24/84) also provided revised figures for `77-`84 in order to update the figures we obtained from the Appropriations Bills.

Institutional expenditures include $64 million in federal Title XIX funds for capital construction and renovation of state institutions which took place largely between 1977 and 1980. Hickman's estimates follow (in thousands):

1977	$ 6,443
1978	16,000
1979	20,778
1980	20,778

These Federal funds (which are not within in the Appropriations Bill line items included in this analysis) were added into the Federal Title XIX line to facilitate comparability with other states that do include federal Title XIX capital funds.

Michigan funded 12 "Regional Centers" (state institutions) during the period of our analysis:

Alpine-closed in 1981
Caro Regional MH Center - Developmental Services Unit
Coldwater
Hillcrest-closed in '82
Joseph Snyder/Macomb-Oakland
Mount Pleasant
Muskegon
Newberry
Northville-closed in '83
Oakdale
Plymouth-closed June, 1984
Southgate

The aggregated September 30th year-end population at these centers has been as follows:

1977 - 6,047
78 - 5,720
79 - 5,142
80 - 4,371
81 - 3,574
82 - 2,973
83 - 2,486
84 - 2,262 (projected)

(Source: telephone, 6/5/83, Mark Kielhorn, DMH Bureau for DD Centers)

5. Other State Funds includes: (1) small amounts of local county revenue appearing in several state facility budgets as they were presented in the Appropriations Bills in FY '77 and '78 only--they do not appear after '78; and (2) funds appearing under "Institutional Services" in the Budget where they're referred to as "lease/rental, gifts, school aid fund, etc." from FY `80 to `84. This source of funds is not reported prior to '80. The increase in FY '83 is due to increased collections from Blue Cross/Blue Shield for insured members.

6. Title XIX. The Federal share of ICF/MR funds is reported as a line item in the DMH budget but funds for both institutional and community facilities are combined into one figure. A breakout of community and institutional portions of the XIX funds was provided by Hickman (telephone, 11/3/83). The figures are all estimated amounts by Hickman based on DMH expenditure reports.

7. Other Federal Funds include "staffing grants" at several facilities in '77 and '78, the federal school lunch program carried in the "Central Accounts - DD Centers" line, and "ESEA, Title I" funds appearing under "Institutional Services." The increase in the federal funds in FY '83 is due to the appearance of the "Reduction Adjustment and Discretionary Fund" line which represented extra Medicaid collections due for residents. These were used to offset overall state general fund budget cutbacks.

III. COMMUNITY SERVICES

8. Community Services is budgeted under three program lines in the DMH budget: "Community Mental Health Programs," "Residential Services" (formerly called "Community Placement") and "Residential Services" Support" (which includes case management staff, home recruitment cost, and related community services). All three accounts fund both mentally ill and developmentally disabled clients. Expenditures for both client groups are combined into one figure in the state appropriation bill. Hickman (telephone, 11/3/83) advised estimating the DD portion of community programs for the past eight years based on the assumptions that: (1) the DD portion of "CMH Programs" has gradually increased by the following percentages:

1977 - 15%
78 - 15%
79 - 15%
80 - 24%
1981 - 24%
82 - 33%
83 - 33%
84 - 34%

(2) The DD portion of "Residential Services" and "Residential Services and Support" has gradually increased as follows:

1977 - 50%
78 - 52%
79 - 46%
80 - 50%
81 - 73%
82 - 73%
83 - 73%
84 - 74%

The Director of Community Residential Services for DMH, Ben Censoni, concurred with Hickman's estimates (telephone interview, 11/9/83). All Community Services figures in this analysis are estimates based on adjusted appropriations figures.

The large increase in Community expenditures between FY '80 and '81, according to Hickman (telephone interview, 8/30/84), is primarily the rapid expansion of community residential facilities. Rate increases account for only 5-10% of the increase. The expansion continues in subsequent years.

Federal DD Act Funds, SSI, SSDI, and the 10% local county matching funds are not included in this analysis. Also not included are expenditures for Personal Care Services and SSI State Supplement funds.

Myrna Goss, Department of Management and Budget, telephone interview, 6/12/84, estimates that about half of Personal Care expenditures are for developmentally disabled clients, based on a 1978 random survey of all adult foster care homes in the state. Personal Care Services qualify for Medicaid reimbursement. Generally speaking, they cover part of the costs at community residences for staff who help residents with their personal care, such as directing them to take their medication. The following are estimates of the DD portion of personal care funds:

FY	Total Personal Care, All Clients	DD portion-General Fund	DD portion-Federal XIX
1981	$ 1,895,400	$ 521,250	426,450
82	8,050,300	2,213,850	1,811,300
83	7,150,900	1,928,000	1,647,450
84	8,300,000	2,300,000	1,850,000

Community programs in Michigan are run by 55 local (County) Community Mental Health Boards. The Boards must provide a 10% match for all state expenditures for DD and mentally ill clients in their counties. Starting in FY '81 the state began shifting responsibility for the direct delivery of all mental health and DD services to the community mental health boards, as they demonstrated the willingness and capacity to deliver such services. Some counties have contractual purchase of service arrangements with the state under which funds appropriated for the operation of the state facilities actually flow through county treasuries.

Such counties are termed "Full Management Boards." The state transfers to the county a lump sum amount which represents the cost in the previous year of serving all clients. The county then becomes responsible for the clients. To encourage deinstitutionalization, if a county moves clients out of institutions into less expensive community ICF/MRs, then the County Board gets to keep the savings. Also, if a County Board moves clients out of state ICF/MR institutions into non ICF/MR community residences, which would cost the county more because there are no federal funds paying 50% of the cost, then the state makes up the difference so that there is no cost disincentive to the county for moving clients out of institutions. Presently, 22 of the 55 county boards are Full Management Boards.

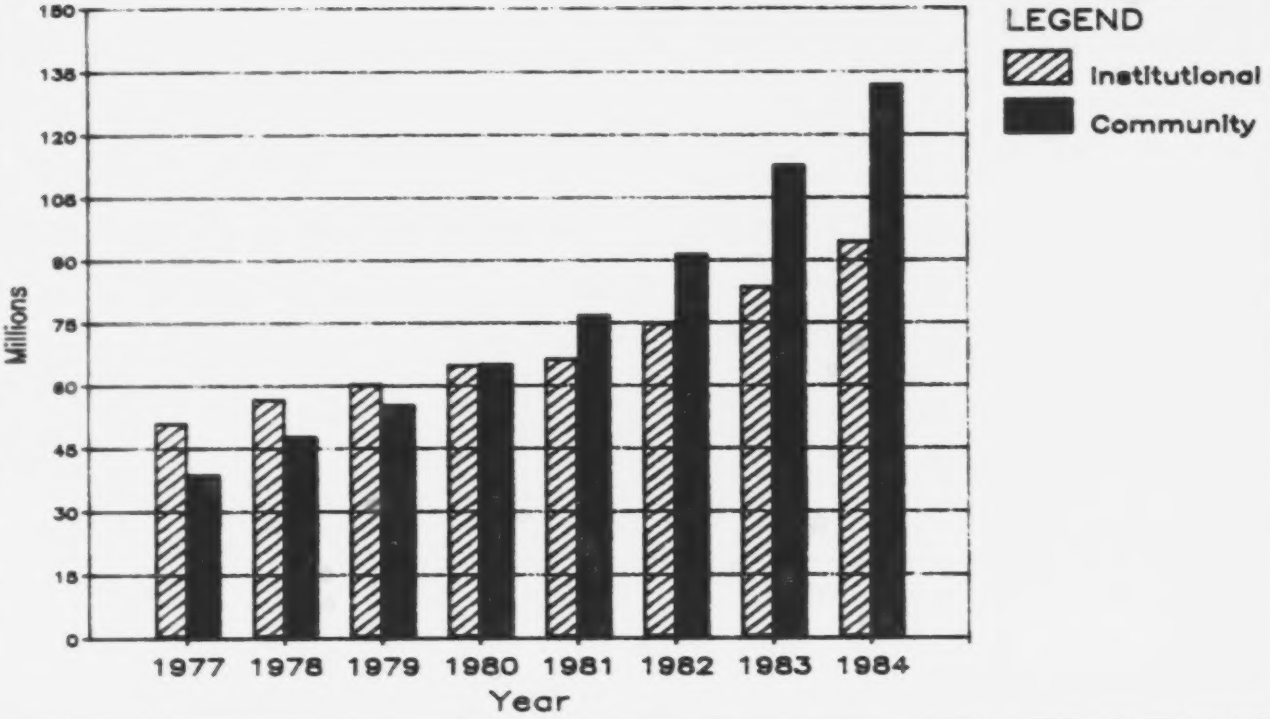
9. Title XIX. The community based ICF/MR homes in Michigan are called "AIS" homes (Alternative Intermediate Service). In addition to the AIS home expenditures, FY '83 spending includes $9 million for federal Title XIX Community Care Waiver activities, which DMH refers to as "Clinical Services." These funds support primarily day care and outpatient services. Also, in '84 there is an additional $9 million budgeted for Waiver services, according to Hickman.

10. Title XX. Community Mental Health Centers expended very little Title XX funds, according to Lou LaFollette, Department of Management and Budget (telephone, 10/17/83). The Department of Social Services was responsible for developing the State Title XX Plan, and the CMHC Boards apparently did not lobby extensively for funds.

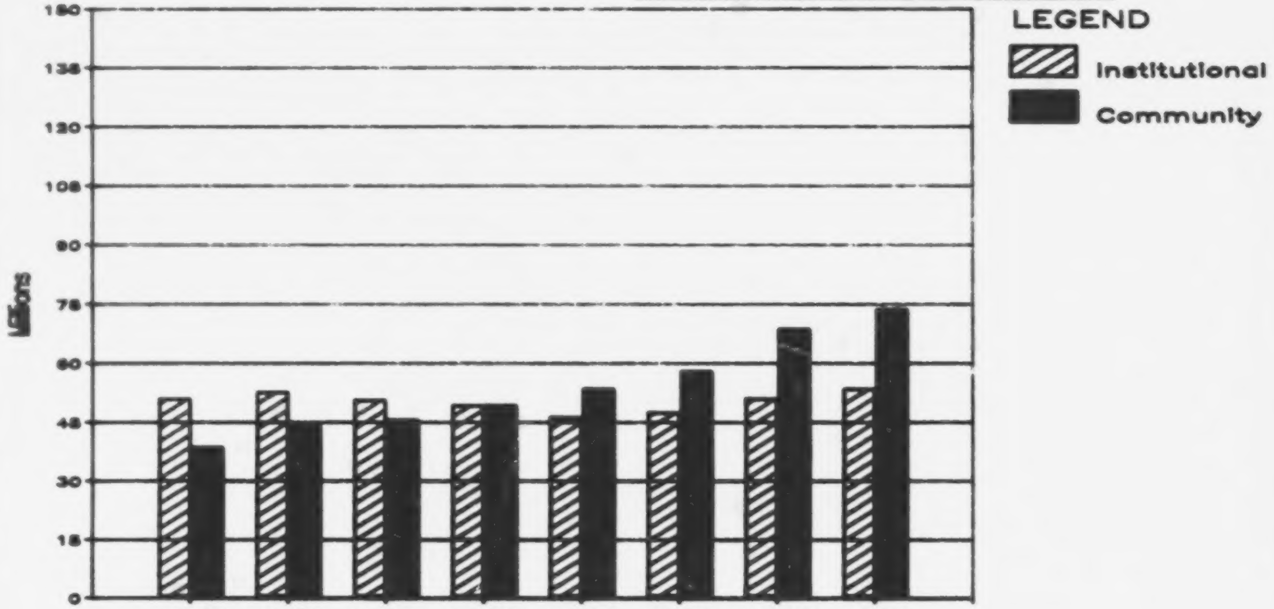
10. Private ICF/MRs. All publicly and privately run community-based ICF/MRs are administered by the Community Mental Health Boards and are already included in our analysis (according to Hickman, 8/25/83). Funds for the public and private ICF/MRs are combined in the DMH budget documents; therefore, in this analysis, the Community Services Title XIX federal funds include private ICF/MRs.

MINNESOTA
STATE PROFILE

MINNESOTA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

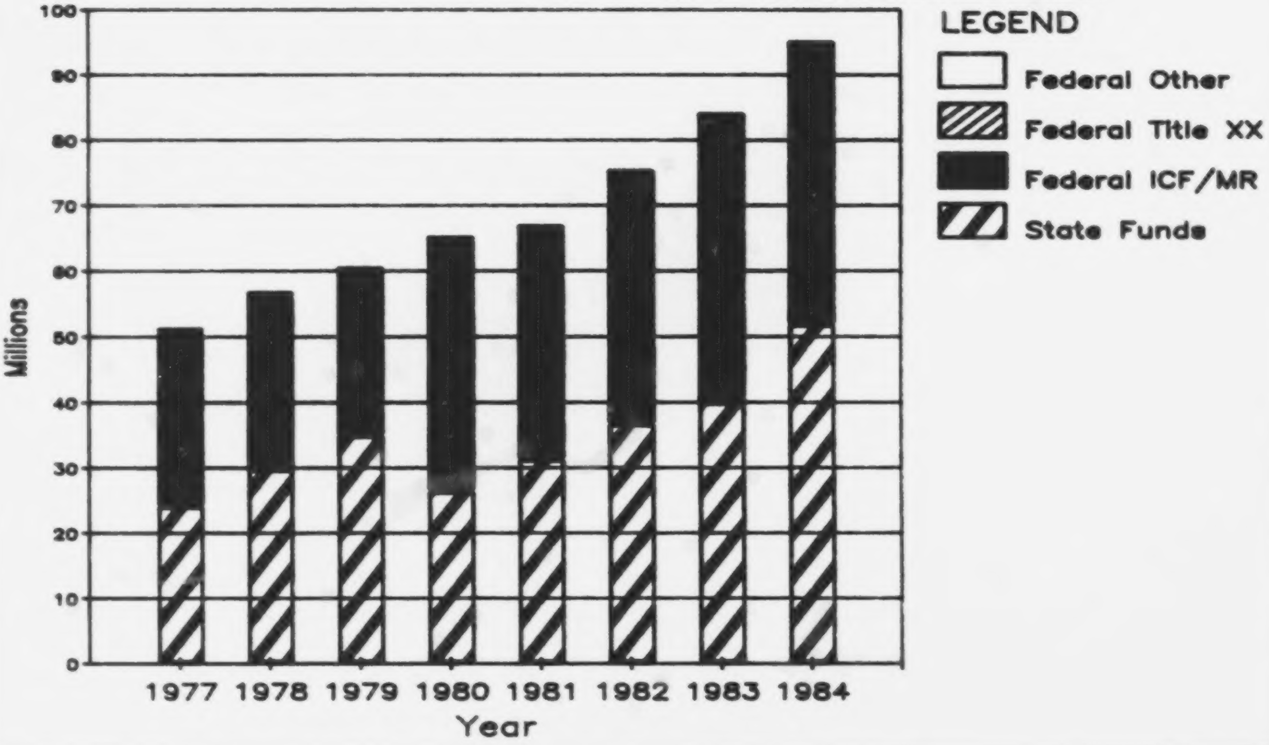


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

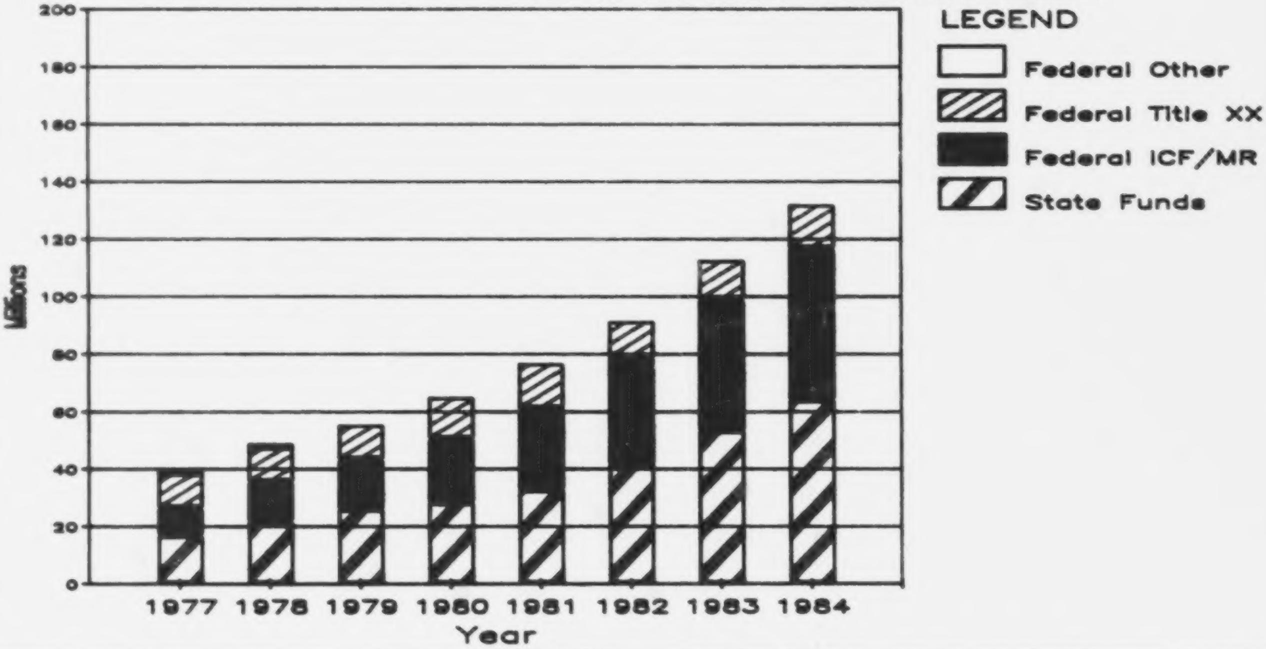
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA

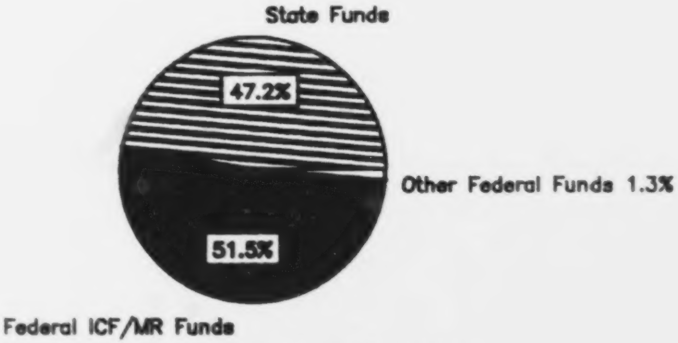
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



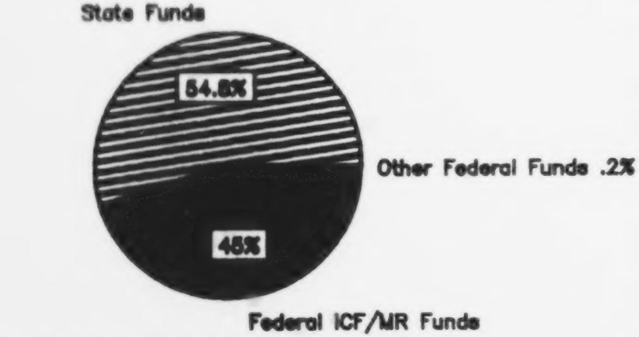
MR/DD Expenditures for *Community** Services:
A Comparison of State & Federal Funding
FY 1977–1984, ***In Unadjusted Dollars***



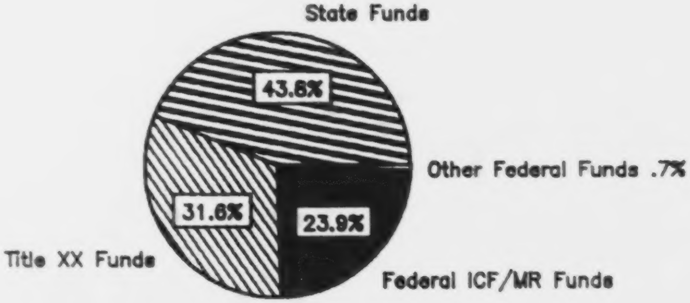
MINNESOTA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



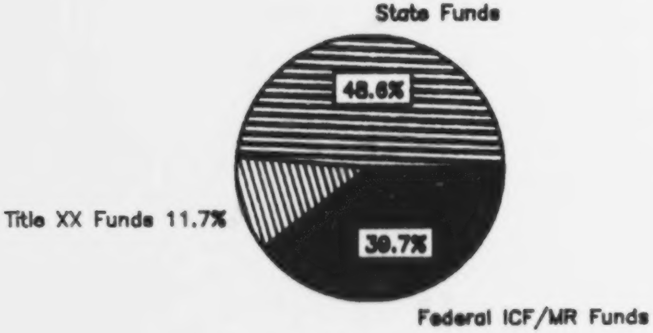
Institutional: 1977 Total Funds: $51 Million



Institutional: 1984 Total Funds: $94 Million



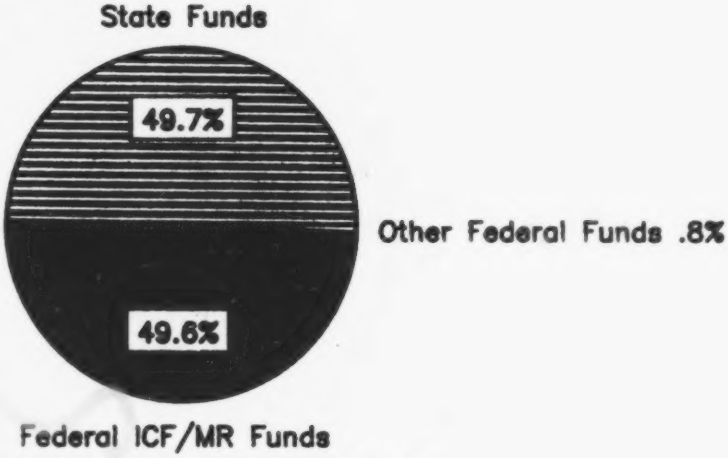
Community: 1977 Total Funds: $39 Million



Community: 1984 Total Funds: $132 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

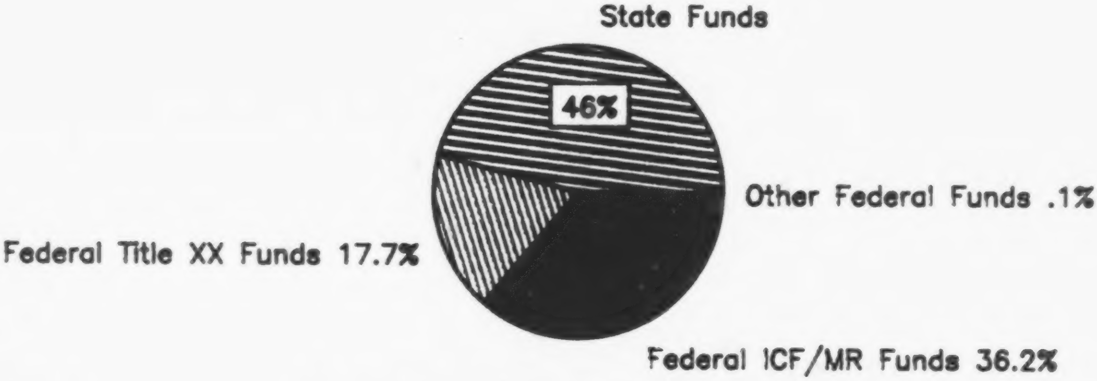
MINNESOTA
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $555 Million

Community Services Funds

(Excludes SSI, SSDI, Special Education & Local Expenditures)

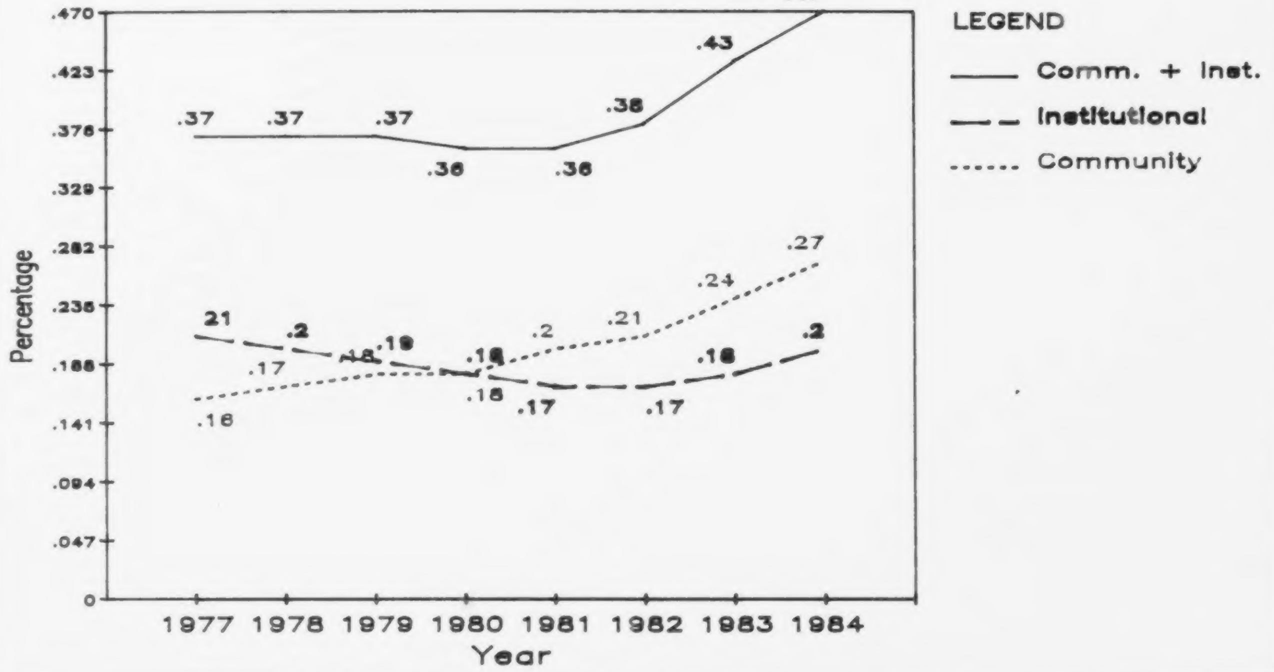


Total Community Dollars: $623 Million

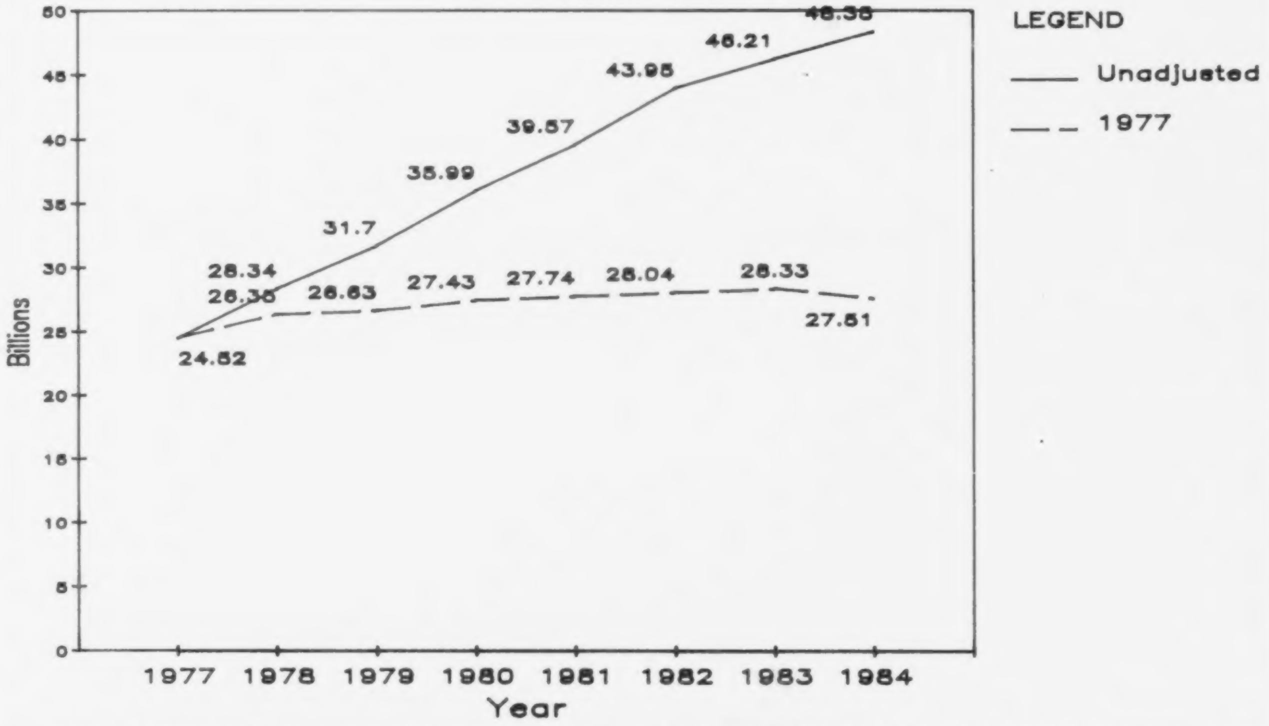
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



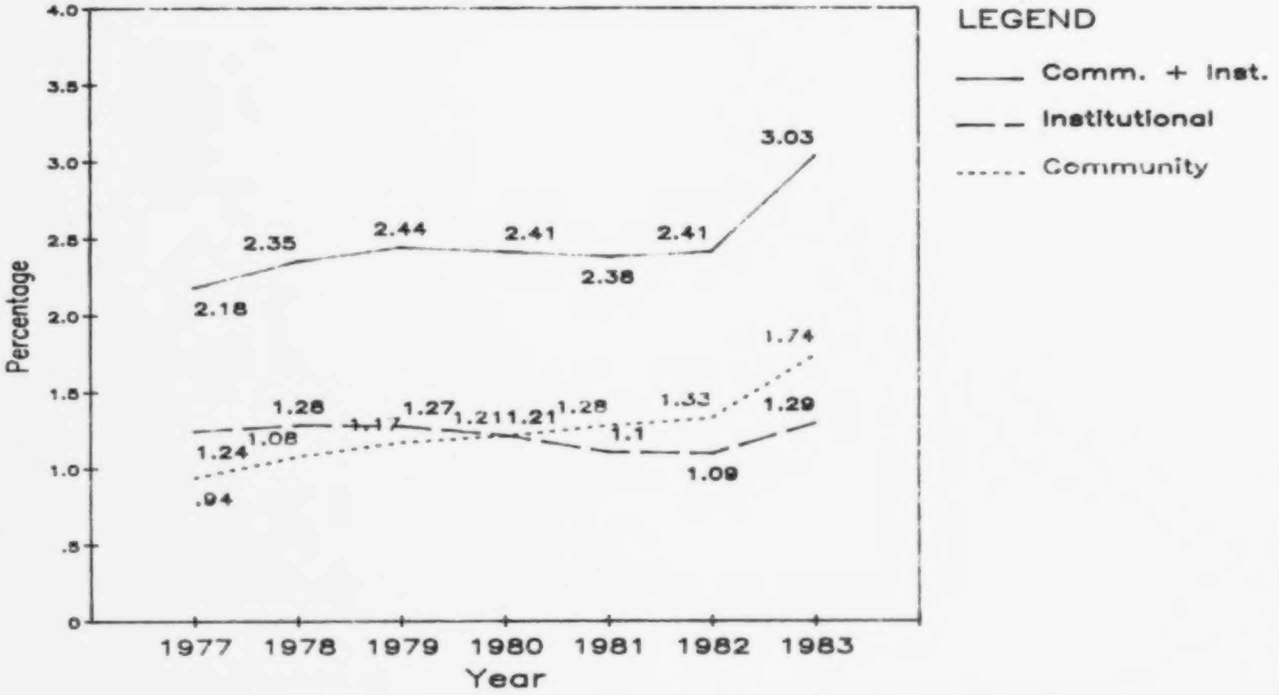
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



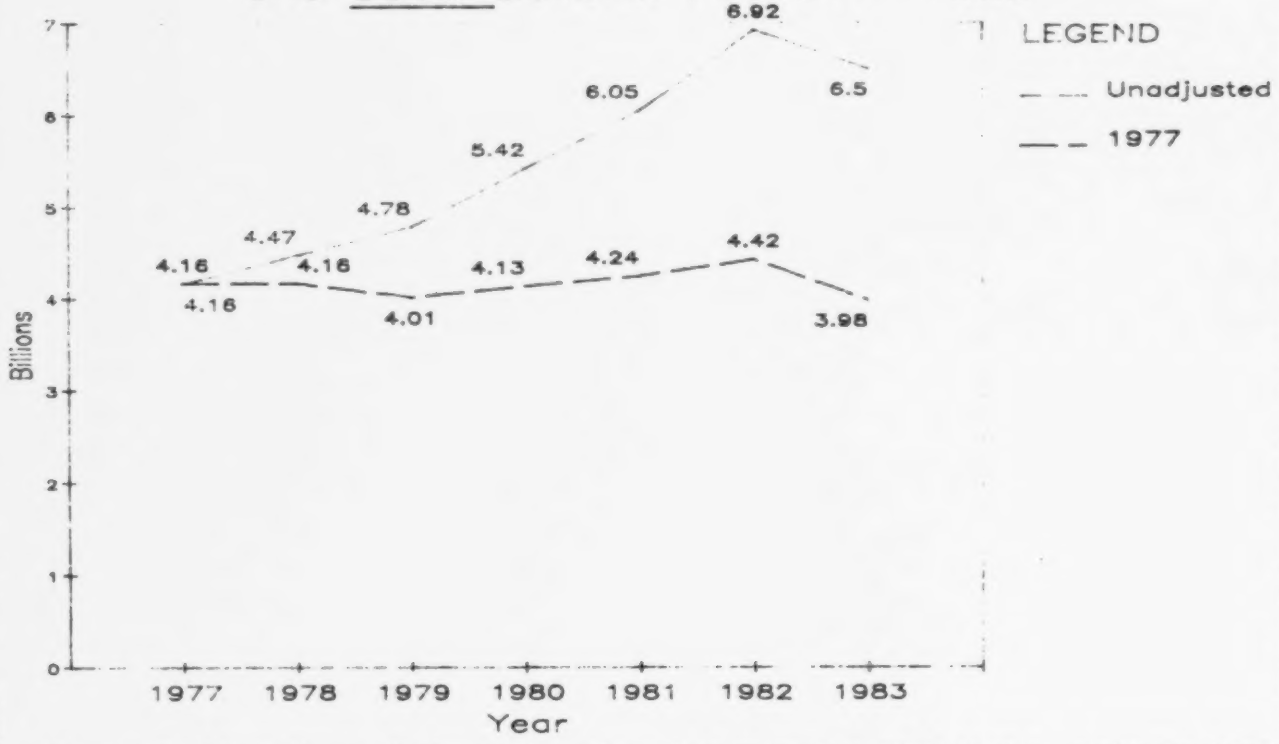
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

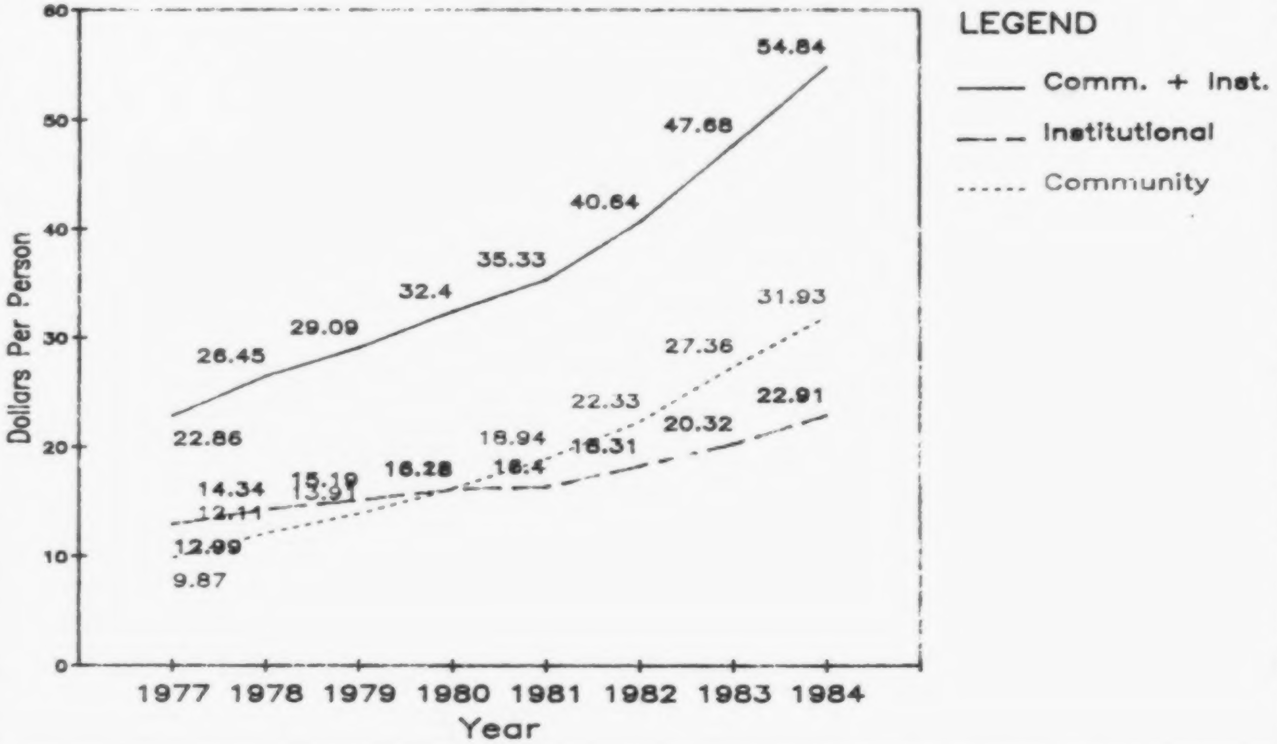


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

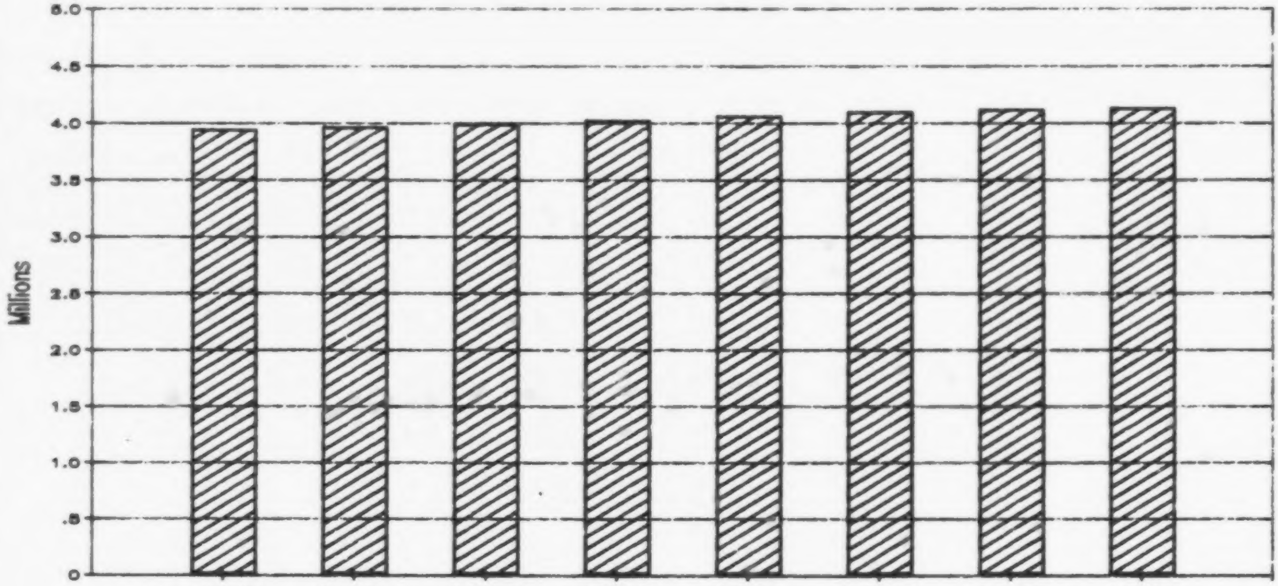


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA
MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

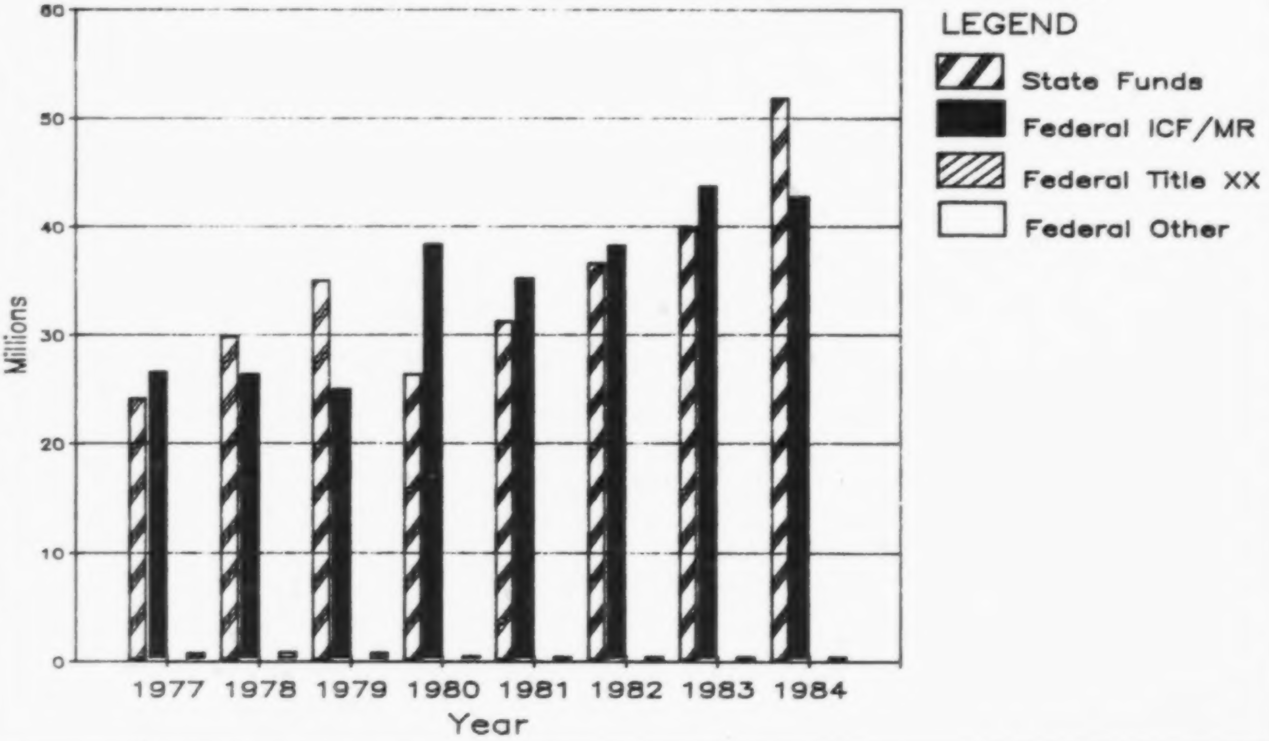


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

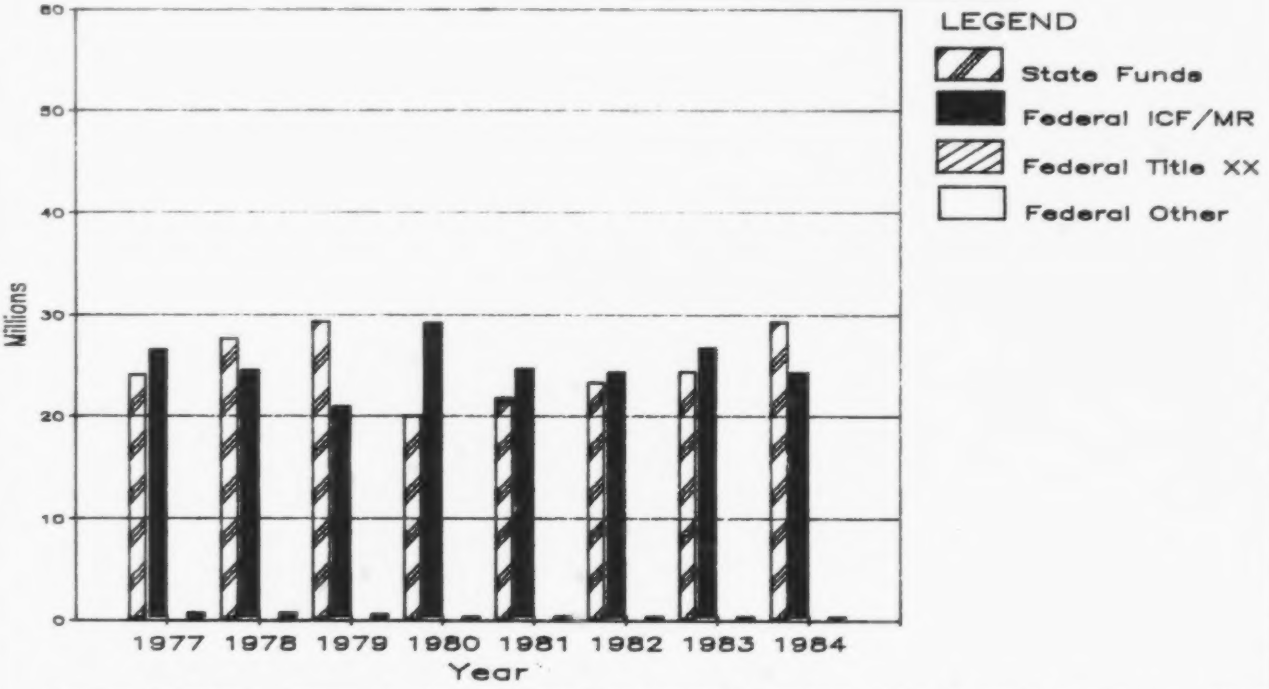
MINNESOTA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, ***In Unadjusted Dollars***



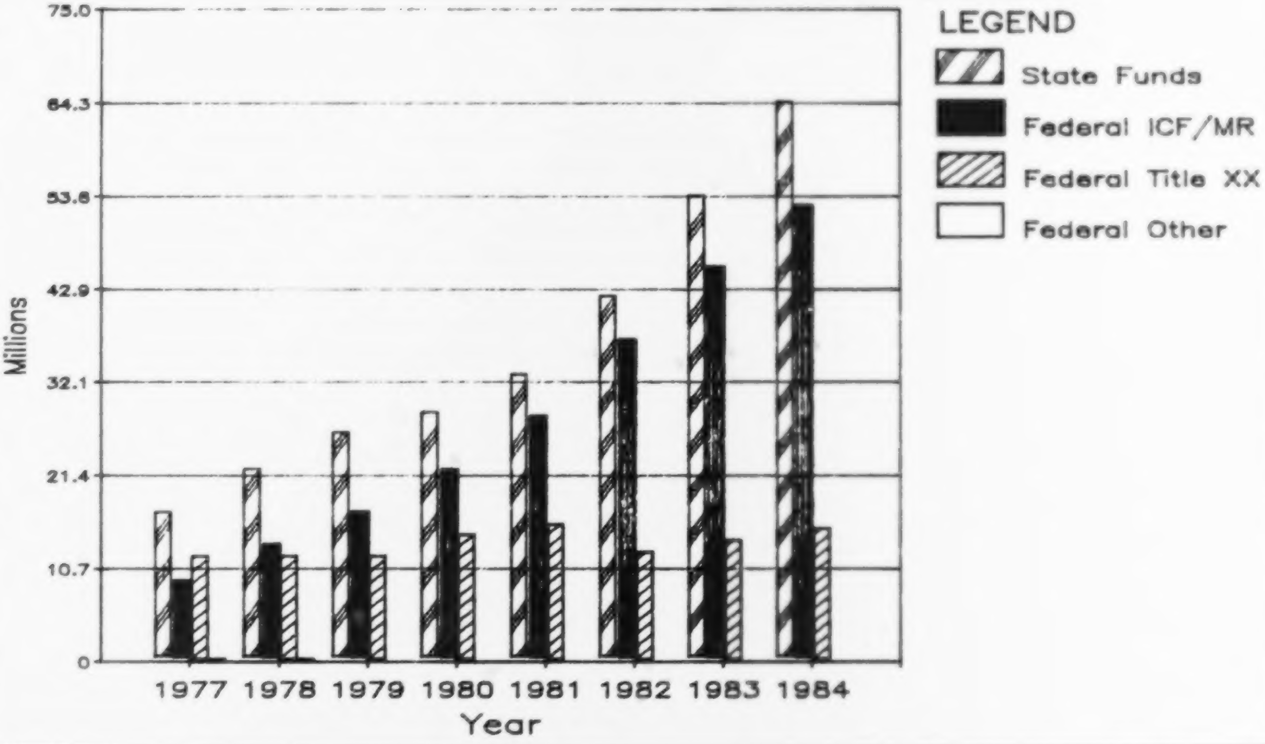
FY 1977–1984, ***In 1977 Dollars***



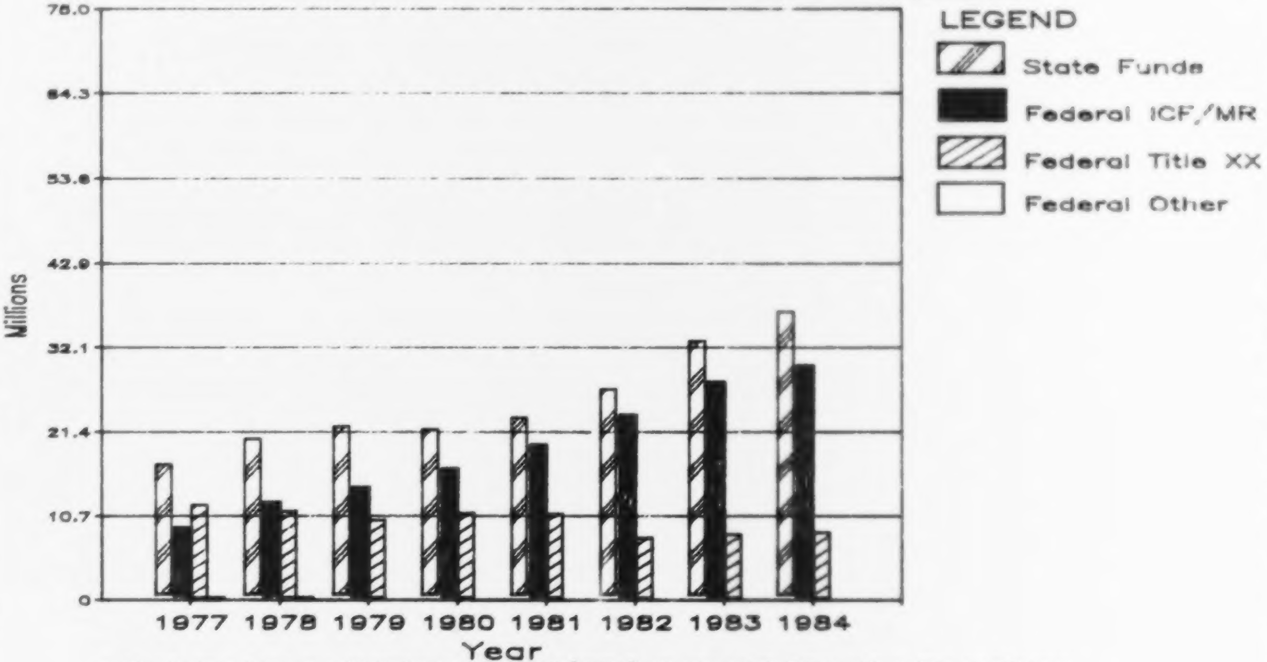
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



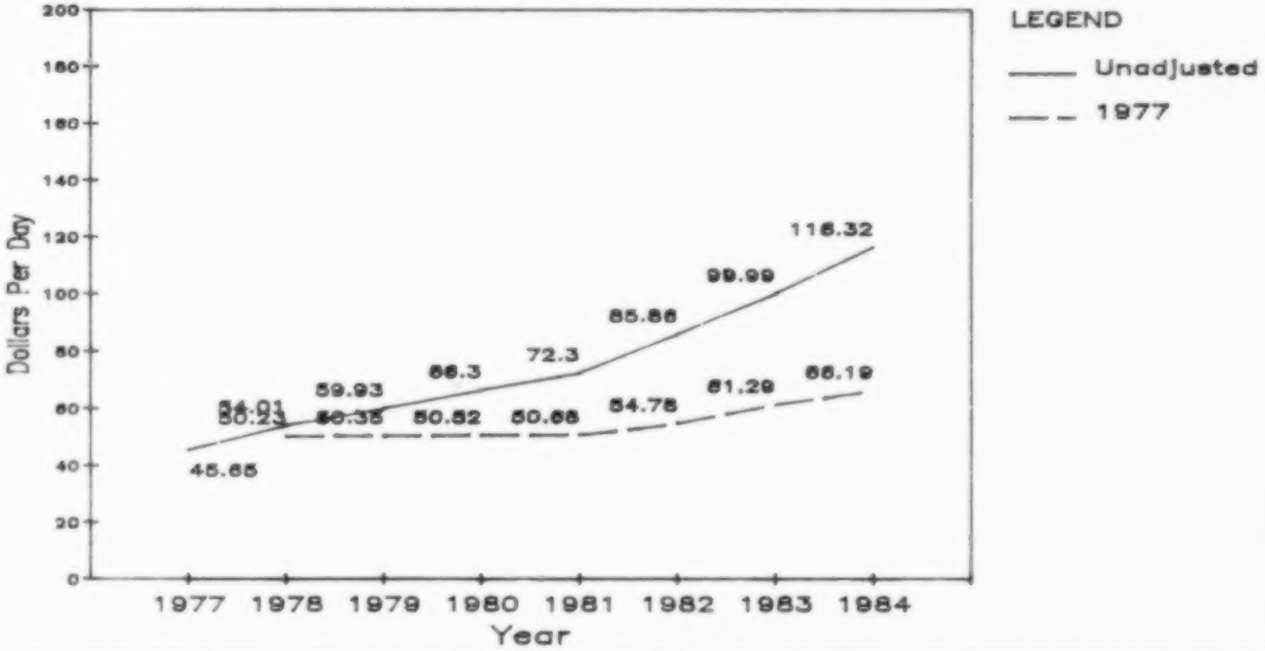
FY 1977–1984, *In 1977 Dollars*



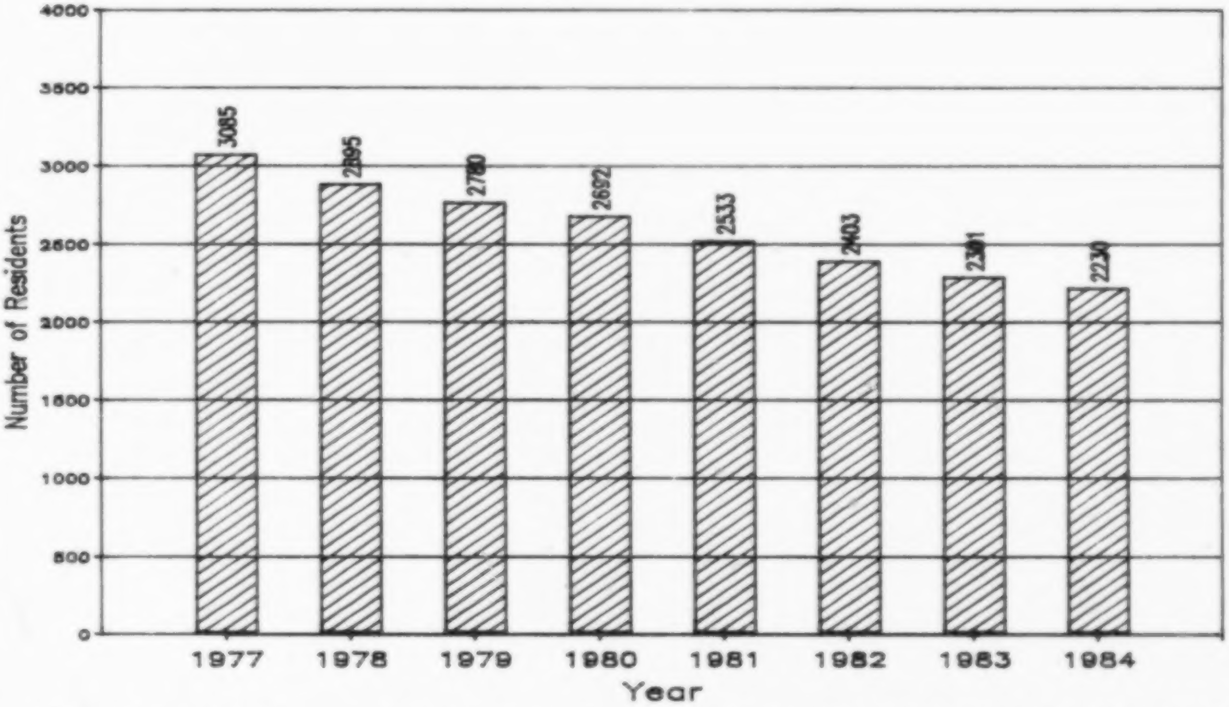
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MINNESOTA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The community and institutional services for mentally retarded and developmentally disabled individuals in Minnesota are administered primarily by the "Mental Health Bureau," which is in the Department of Public Welfare. The Bureau has a "Division of Retardation" which operates community services, and a "Residential Facilities Division" which operates institutional services (including state hospital services for the mentally ill and chemically dependent).

2. Budget Format: The revenue source categories presented in the Minnesota Biennium budget books are relatively constant FY `77 through FY `84:

General Fund
Special Revenue and Apportionment
(entitled "Revolving" FY `78)
Agency
Gifts and Deposits
Federal

However, the presentation of institutional and community services program components was modified by the state over the eight years of our analysis:

Department of Public Welfare
Mental Health Bureau
Mental Retardation Program Office
Developmental Achievement Center--DACs (FY `77-FY `80 only)
General Fund
Federal (FY `77-FY `78 only)
Semi-Independent Living Services--General Fund (FY `81-FY `84 only)
MR Grant-in-Aid--General Fund (FY `77-FY `80 only)
MR Family Subsidy (Aid to Individuals)--General Fund (FY `81-FY `84 only)
Cambridge and Faribault State Hospitals--MR/DD (detailed FY `81-FY `84 only)
Direct Appropriation: General
Dedicated Appropriation: Special Revenue/Apportionment
: Agency
: Gifts and Deposits
: Federal
Brainard, Fergus Falls, Moose Lake, St. Peter, Willmar and Rochester State Hospitals--MR/DD Share (detailed FY `81-FY `84 only)
[same budget detail as Cambridge, Faribault]
State Hospital General Support (FY `77-FY `80 only)*
[same budget detail as above]
Total State Hospitals (FY`77-FY`80: without General Support)
[same budget detail as above]

*Note: See Note 4 below in Institutional Services Funds for explanation of the method of apportioning MR/DD State Hospital Share in multiple population facilities and of determining MR/DD portion of State Hospital General Support (FY `77-`80)

3. Note on Data Sources: Minnesota Biennium Budget documents were reviewed for the FY `79-`81, the FY `81-`83, and the FY `83-`85 Biennia. The budget books each provided two years of actual expenditures, so that "actual" figures were reviewed for FY `77 through FY `82, while the figures for FY `83 were "estimated" and FY '84 consisted of "Governor's Recommendations."

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of support for the Cambridge and Faribault state hospitals, and the MR/DD portions at Brainard, Fergus Falls, Moose Lake, St. Peter, Willmar, and Rochester state hospitals. (Rochester State Hospital, which had roughly a 25% MR/DD population, closed May 1, 1982, with a residual physical plant expense in FY `83). Since average daily population figures are provided in the budget books for each in-resident disability group, it was possible to utilize percentages to calculate the MR/DD share of the total state hospital expenditures for FY `81 through FY `84. The FY `77 through FY `80 figures were presented in the budget books with totals for the "residential services" expenses for MR/DD residents; however, "hospital general support" figures were provided only for the combined state hospital populations. Nevertheless, it was again possible to utilize the MR/DD percentage of "average daily population" to calculate the MR/DD share of "hospital general support," FY `77 through FY `80, and to add these figures to the MR/DD "residential services" figures for each of those years.

Note: The revenue source breakdown for state hospitals was as indicated in Note 2 above. For the analysis, "Direct Appropriations: General Fund" and "Dedicated Appropriations: Special Revenue/Apportionment" are combined each year. Then, utilizing Title XIX Federal Revenue figures derived from the Minnesota Department of Public Welfare (see Note 7), Federal revenue for each year was offset to arrive at the State General Funds amount for our analysis.

This method for apportioning the MR/DD share of state hospital expenditures for each year, and the method of offsetting the Title XIX federal revenues from the total expenditures each year were reviewed with Mr. Tom Sherwood, Institutions Budget Director, Financial Management Division, Bureau of Support Services, Department of Public Welfare (telephone interview, 10/11/83).

Sherwood provided corrections on FY `81-FY `84 "average daily population" figures (adding in the 36 beds for the Minnesota Learning Center), and recommended that our analysis exclude the revenue line termed "Dedicated Appropriation: Agency," since, according to him, these are "resident funds, social welfare pass-through." His recommendations were incorporated. As provided by Sherwood (10/11/83), the aggregated "average daily population figures" are:

Fiscal Year	Total State Hospital	MR/DD State Hospital Portion
1977	5,293	3,085
1978	5,076	2,895
1979	4,995	2,780
1980	4,849	2,692
1981	4,637	2,533
1982	4,356	2,403
1983	4,230	2,301
1984	4,100 (estimated)	2,230 (estimated)

The FY `84 total state hospital population figures were estimated by Sherwood at 96.9% of FY `83. Thus, the same adjustments (at his suggestion) were made to the FY `83 MR/DD population figures, to estimate the population for FY `84. In a 2/1/84 telephone interview with Mr. Bob Meyer, Budget Services, Division of Retardation, Bureau of Mental Health, additional modifications were made to Institutional Services expenditures:

- The analysis now includes "County Share" of Title XIX (Medical Assistance) in the Institutional Services Other State Funds figures for `82-`84 ($3.3, $4.1, and $4.3 million, respectively, in FY `82, `83, and `84).
- Total MR Institutional Services expenditures for FY `83 and FY `84 are increased reflecting modified accounting by the Department of Public Welfare for MR/DD cost share.

- MR/DD Institutional Services totals (and, proportionately, the fund sources) were then reduced (by $3,300,000 in FY `83 and by $3,487,600 in FY '84) to reflect building depreciation and interest costs associated with major renovations, which our analysis excludes by definition.

5. State General Fund is a calculated figure, consisting of the total of the two budget lines (Note 4) from the Minnesota Biennium Budget books for each year, (apportioned for MR/DD resident share) and then the offsetting of the Title XIX ICF/MR Federal revenue figures provided from a Minnesota Department of Public Welfare document (Note 7).

6. Other State Funds are as reported in the Budget Books as "Gifts and Deposits" (apportioned to reflect MR/DD average daily population share). FY `82-`84 figures include the County Share Match to Title XIX ICF/MR Federal funds, as noted in #4 above.

7. Title XIX consists of the Federal share of Title XIX ICF/MR reimbursements, as reported in "Minnesota Income Maintenance Projections for the FY 1984-1985 Biennium: Updated Forecast" (Minnesota Department of Public Welfare, January, 1983).

8. Other Federal Funds are as reported in the budget books as "Federal" (or as apportioned to reflect MR/DD population share in the state hospitals.)

III. COMMUNITY SERVICES

9. Community Services consists of the line items "MR GIA" (General Fund) in FY `77 through FY `80; the two lines "Semi-independent Living Services" and "MR Family Subsidy"in FY `81-`84; the General Fund amounts for Developmental Achievement Centers (DAC's) in FY `77-`80; and the Federal and County match of the portion of Title XX purchase of services funds utilized for MR clients.

10. State General Fund. General Funds were reported in the Minnesota Biennium Budget books for "MR GIA" FY `77 through FY `80 and for "Semi-independent Living Service" and "MR Family Subsidy" for FY `81-FY `84. In addition, General Funds expenditures for Developmental Achievement Centers (DAC's) were reported in the budget documents for FY `77-FY `80, with a termination during FY `80 (January 1, 1980, as the Community Social Services Act-- CSSA--became effective, shifting State Dollars to the Counties for administration of Social Services). A 6/28/84 letter from Mr. Gary Leier, Department of Public Welfare, provided the second half of FY `80 (January through June, 1980) and the FY `81-FY `83 "State Appropriations" for all the programs "folded in to CSSA." He utilized the DAC share (17%) of all social services transferred to CSSA for a base period (calendar year, 1978), to estimate figures for each year, and we have combined his second half of FY `80 figure with the budget book's first half of FY `80 figure. Our analysis also modified Leier's FY `83 figure, which was only for three quarters (we divided by three, then multiplied by four). Finally, we estimated FY `84 at the same expenditure level as FY `83.

11. Other State Funds. These funds reflect county match funds for Title XX purchase of services for MR/DD clients (see Note 13 below).

12. Title XIX Minnesota anticipates approval for reimbursement under the Title XIX Community Care Waiver in 1984. No expenditure projections are yet available. According to Mr. Bob Meyer, Budget Services, Division of Retardation, Bureau of Mental Health, Department of Public Welfare (telephone interview, 10/28/83), utilization reviews are being implemented in the community-based ICF/MR programs. In-home family support, developmental training homes, small group homes, supervised living facilities, semi-independent living services, case management and day habilitation programs are to be provided under the Waiver when approved by the Health Care Financing Administration in Washington.

13. Title XX. As noted in #10 above, a line in the budget books called "Developmental Achievement Centers" was reported in FY `77-FY `80 and then terminated. According to Meyer (10/28/83), this corresponded to

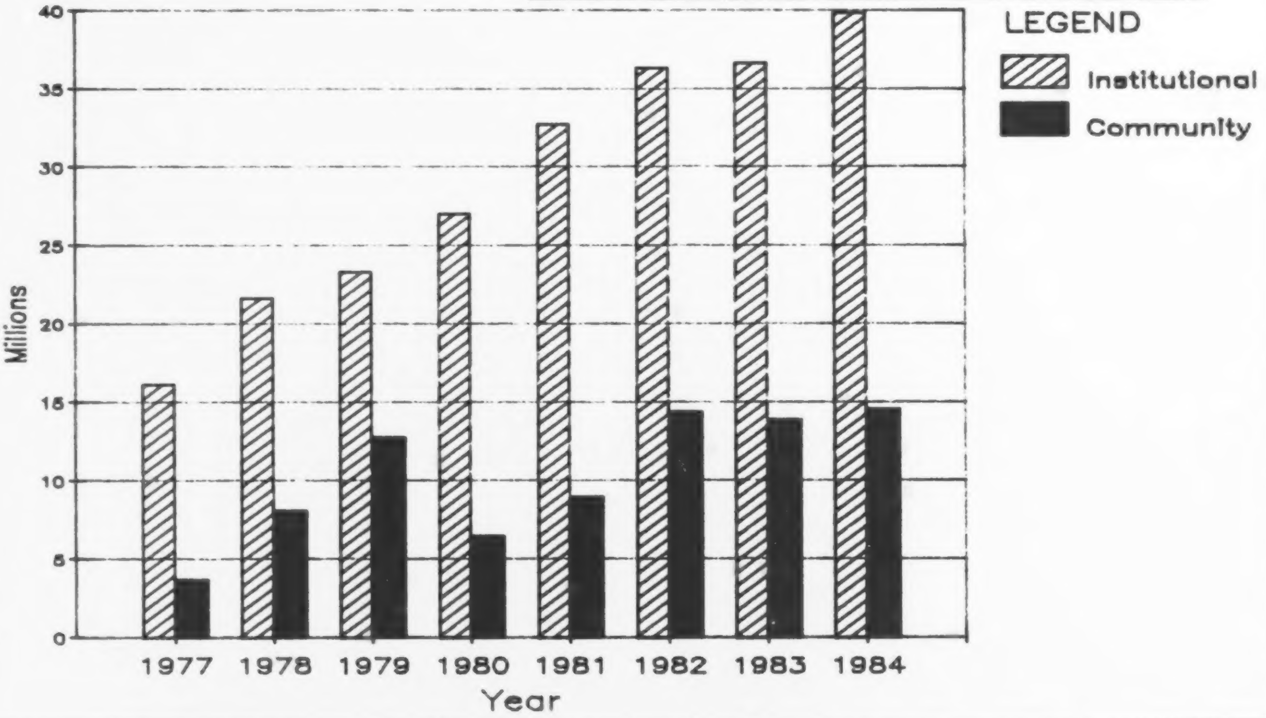
the "Community Social Services Act" legislation which combined 28 Mental Health Centers and the DAC Grants into a general fund formula process whereby the funds went directly to counties. This allowed the counties to have more control over allocations to service providers, but made tracking of Title XX Purchase of Service funds for MR/DD individuals difficult. Mr. Gary Leier, County Financial Management Unit, Financial Management Division, Bureau of Support Services, Department of Public Welfare (letter, 10/24/83) provided the total Title XX Federal figures "passed on to Counties" for FY `77 -FY `83. He also provided total Purchase of Service costs in a sample year (FY `82) for the three MR/DD programs: "Developmental Achievement Centers," "MR Guardianship," and "Residential Treatment - MR Children and Adults." Using these FY `82 "base year" proportions, it was then possible to calculate the other years' figures for the MR/DD Title XX programs. The FY `84 figure was projected, using the increment between FY `82 and FY `83. Leier (telephone, 11/4/83) supported this method as being reasonably accurate. As noted above (Note 10), subsequent information was provided by Leier on the General Fund expenditures for DAC's.

14. Other Federal Funds. For FY `77 and FY `78, this line consists of revenues for the DAC's entitled "Federal Funds" in the budget books.

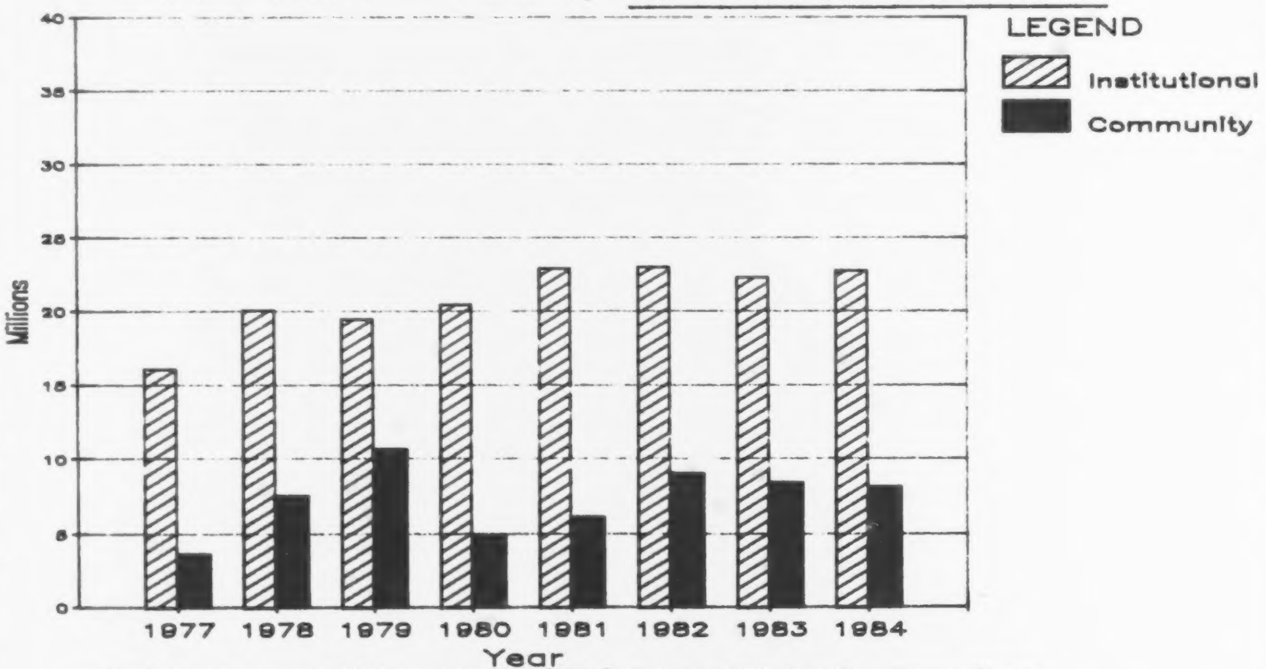
15. Private ICF/MR These figures for FY `77 through FY `82 were provided in a telephone interview with Meyer (10/28/83). The FY `83 - FY `84 figures were obtained from the "Minnesota Income Maintenance Projections" document (see Note 7 above). Meyer noted that there are 330 private ICF/MR facilities: 270 are Fifteen Beds of Less in size (average, eight beds) and of the remaining 60 facilities, only two or three exceed one hundred beds.

MISSISSIPPI
STATE PROFILE

MISSISSIPPI
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

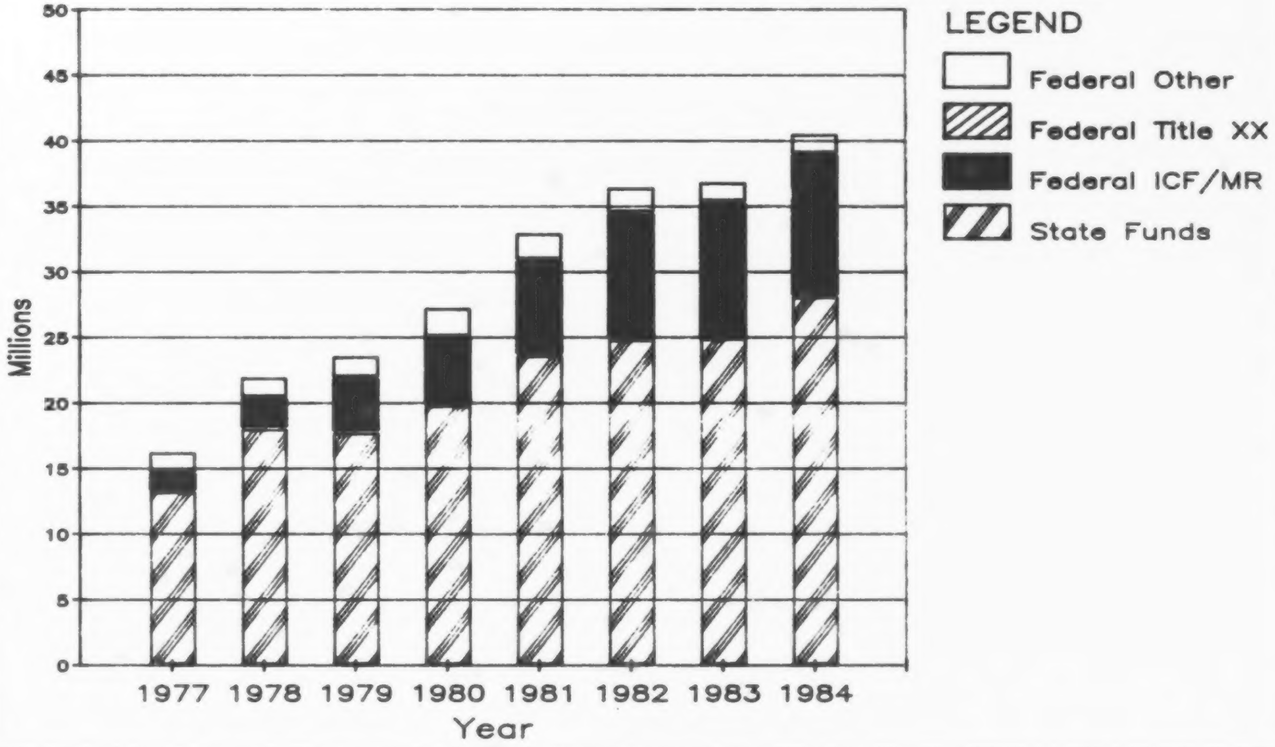


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

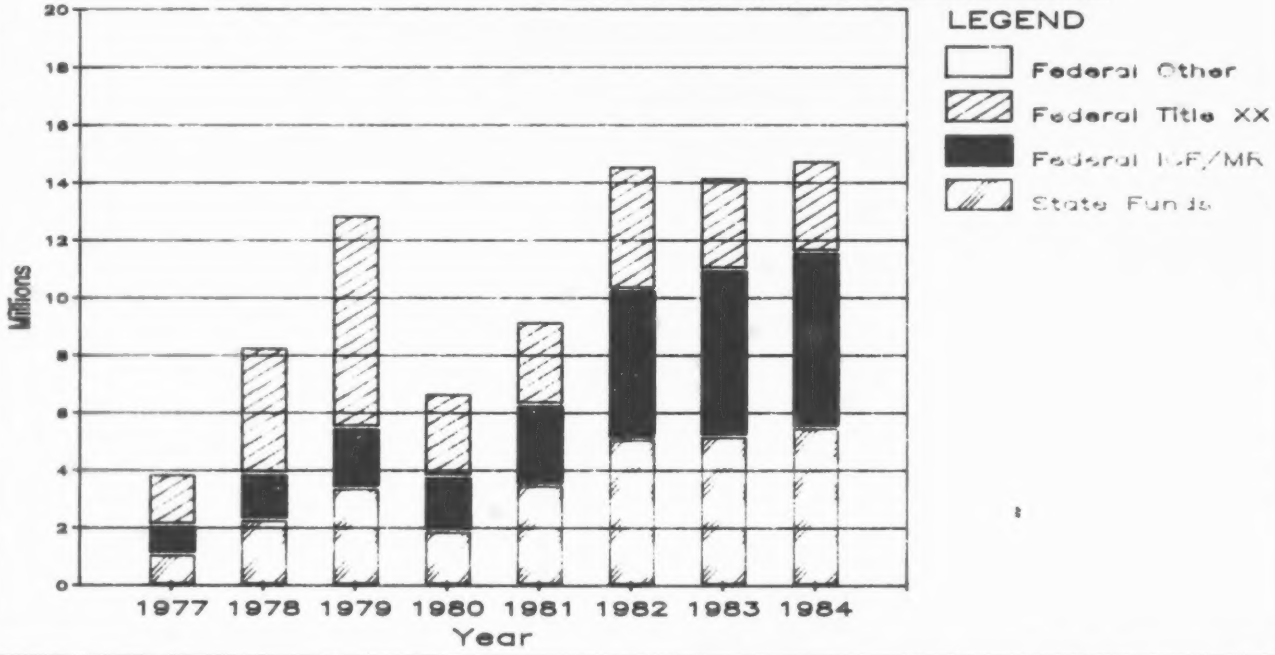
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

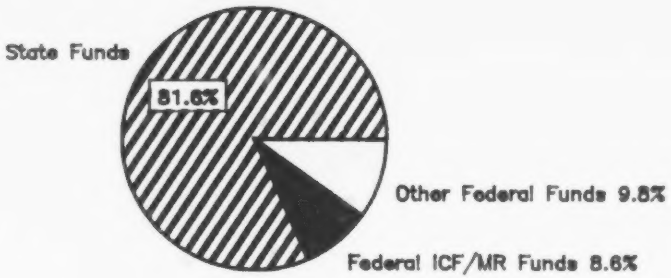
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



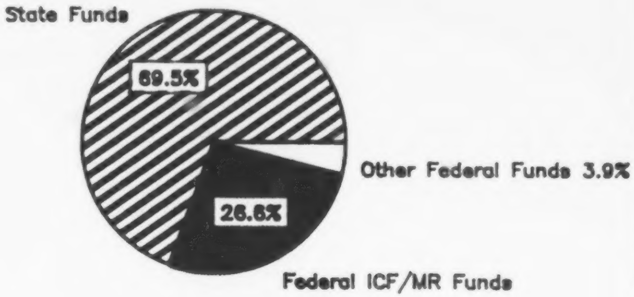
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



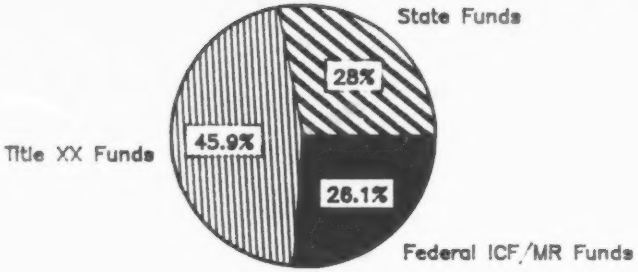
MISSISSIPPI
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



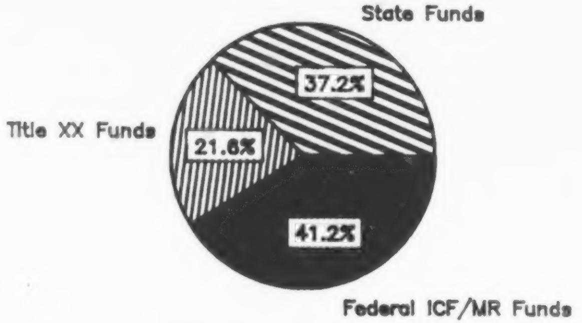
Institutional 1977: $16 Million



Institutional 1984: $41 Million



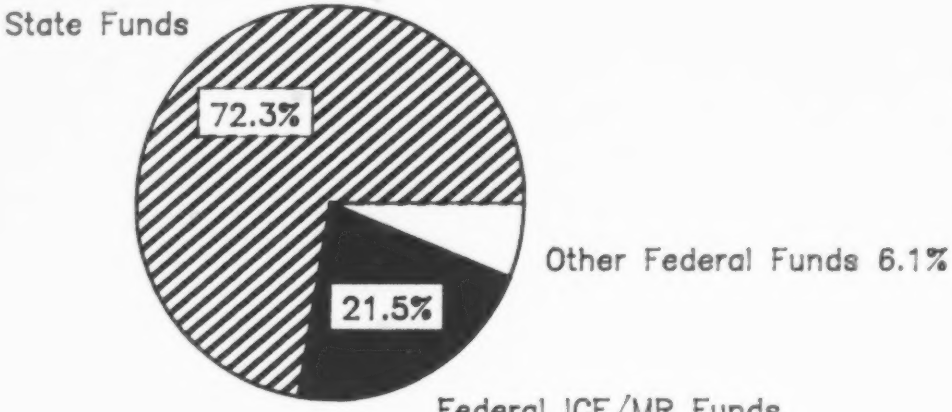
Community 1977: $4 Million



Community 1984: $14.9 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

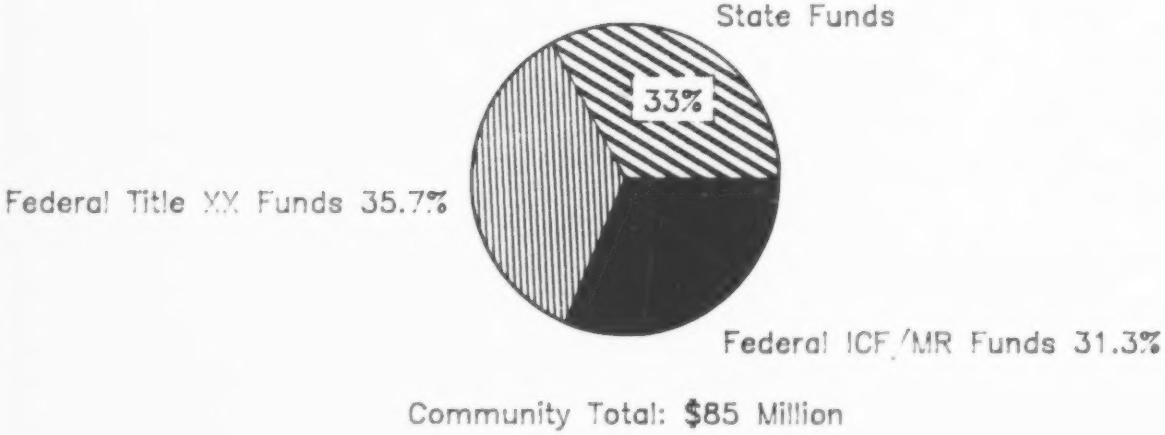
MISSISSIPPI
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Insitutional: $236 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

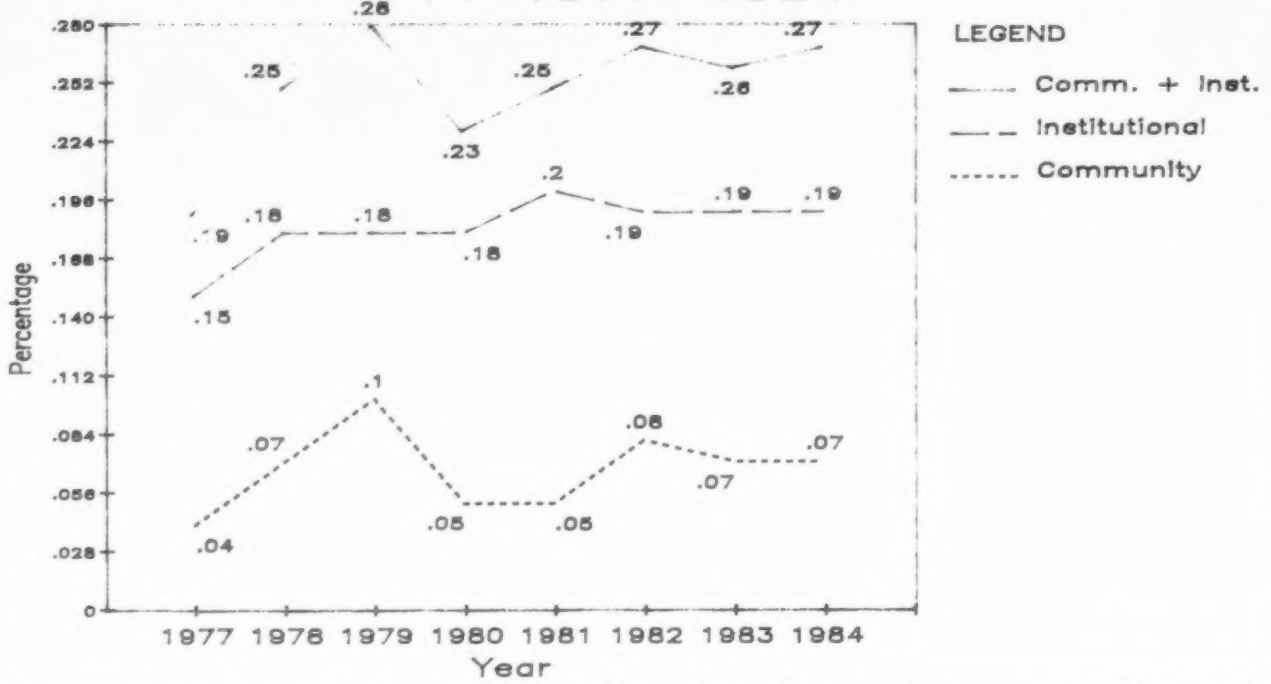


Community Total: $85 Million

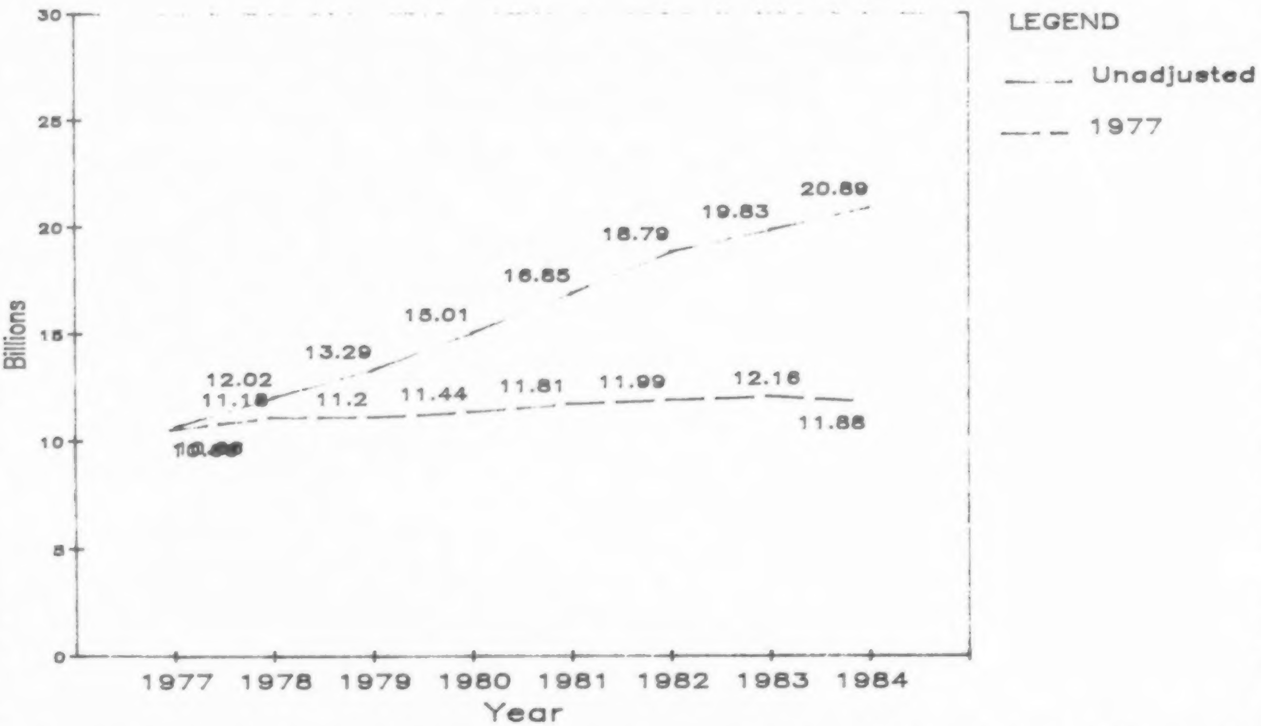
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



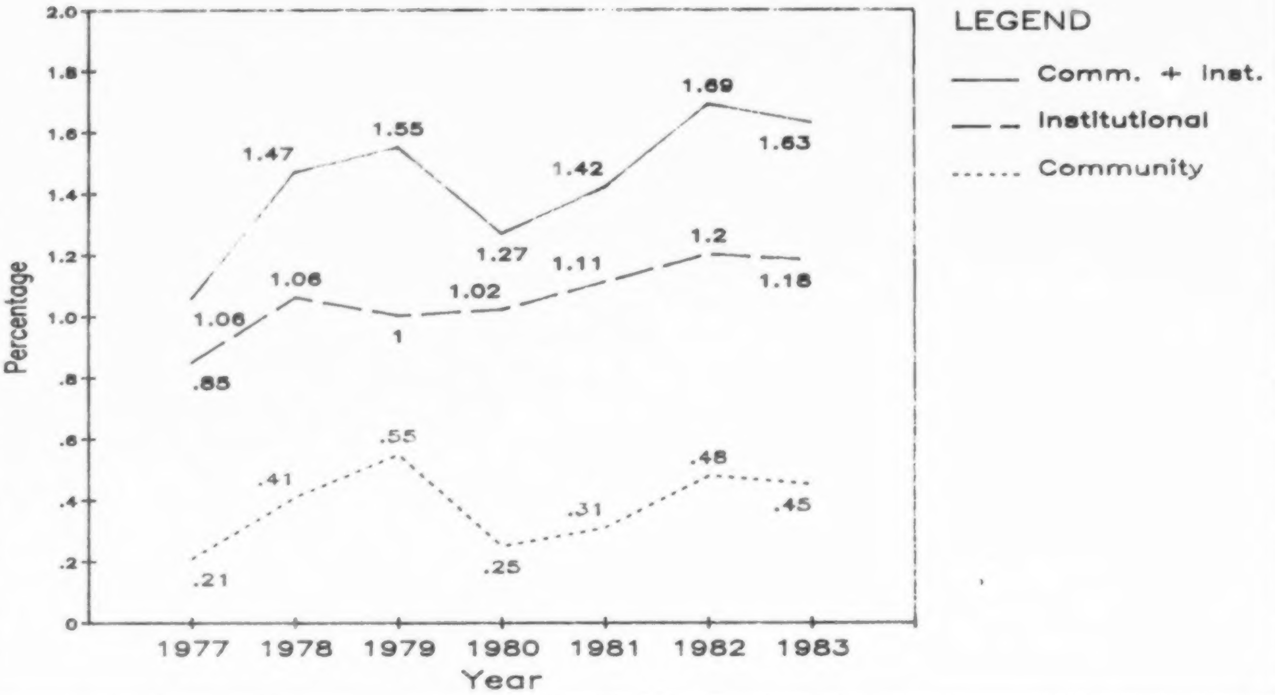
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



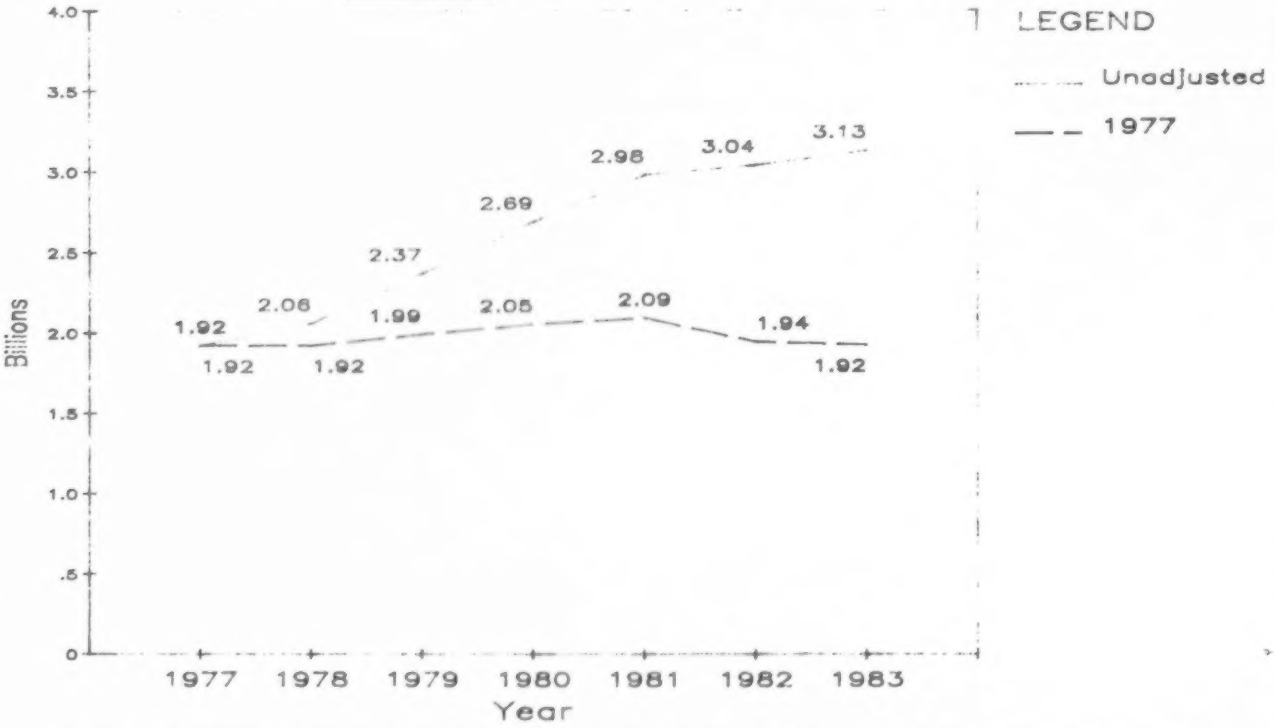
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



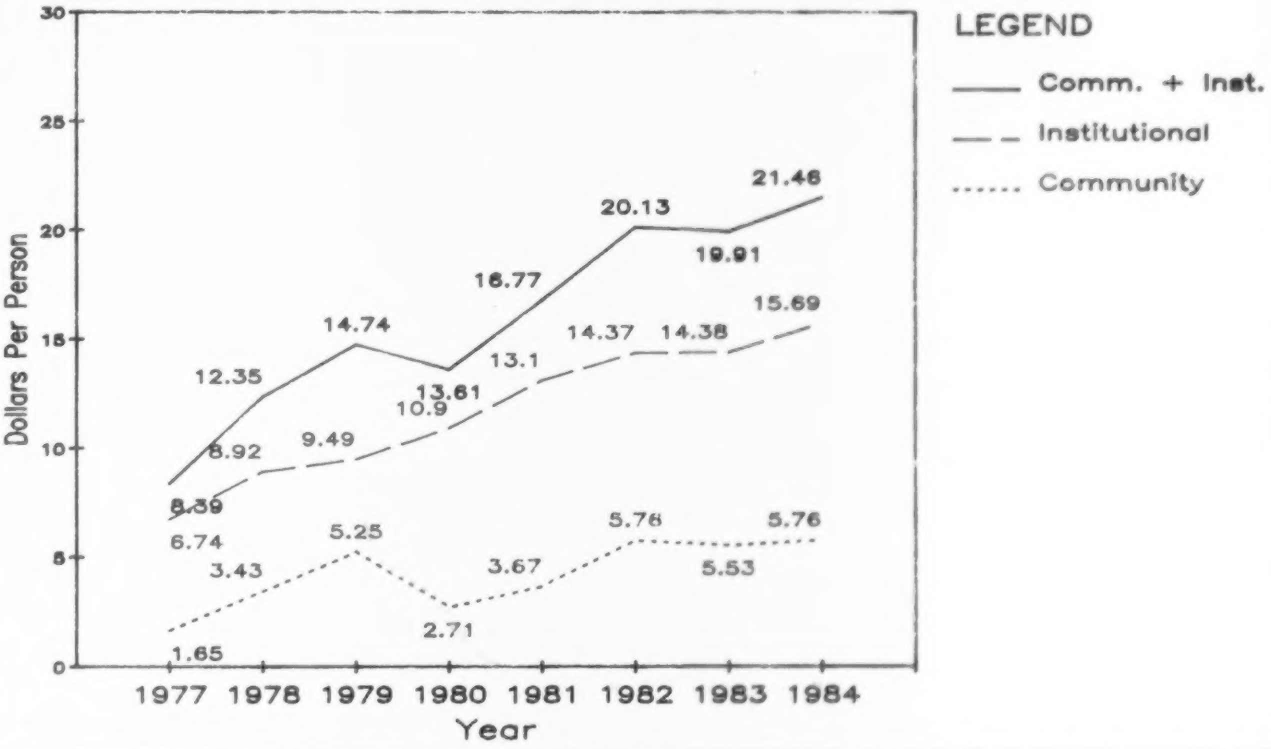
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1983



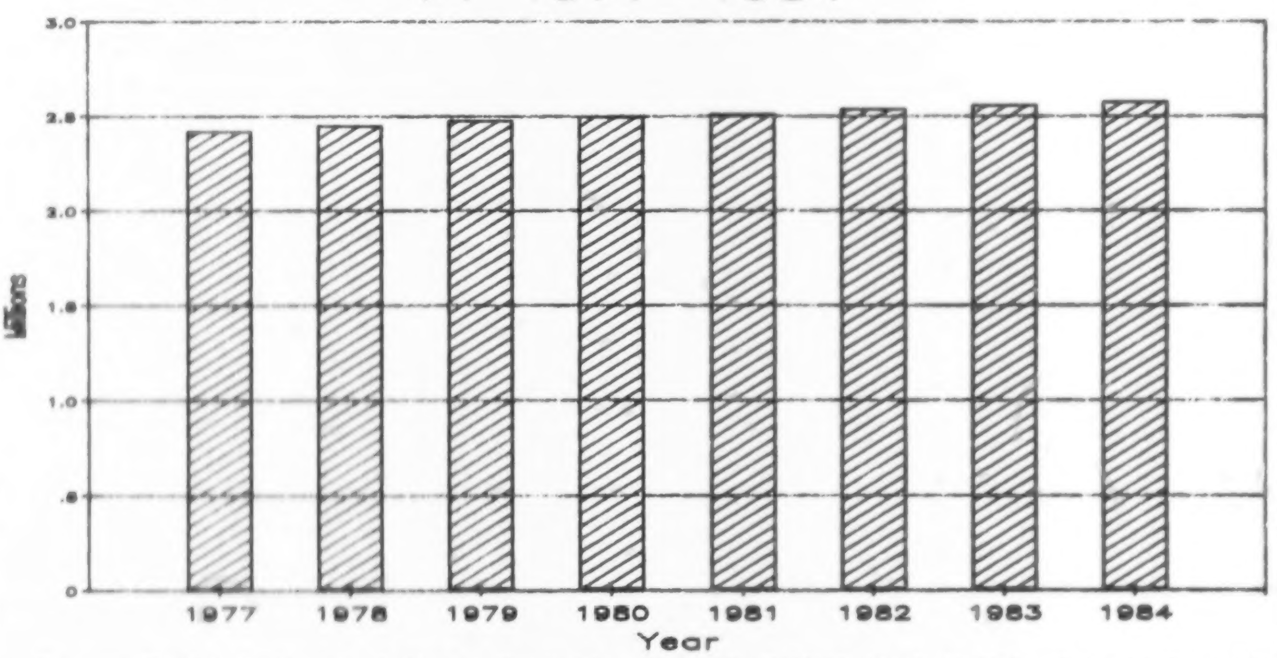
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



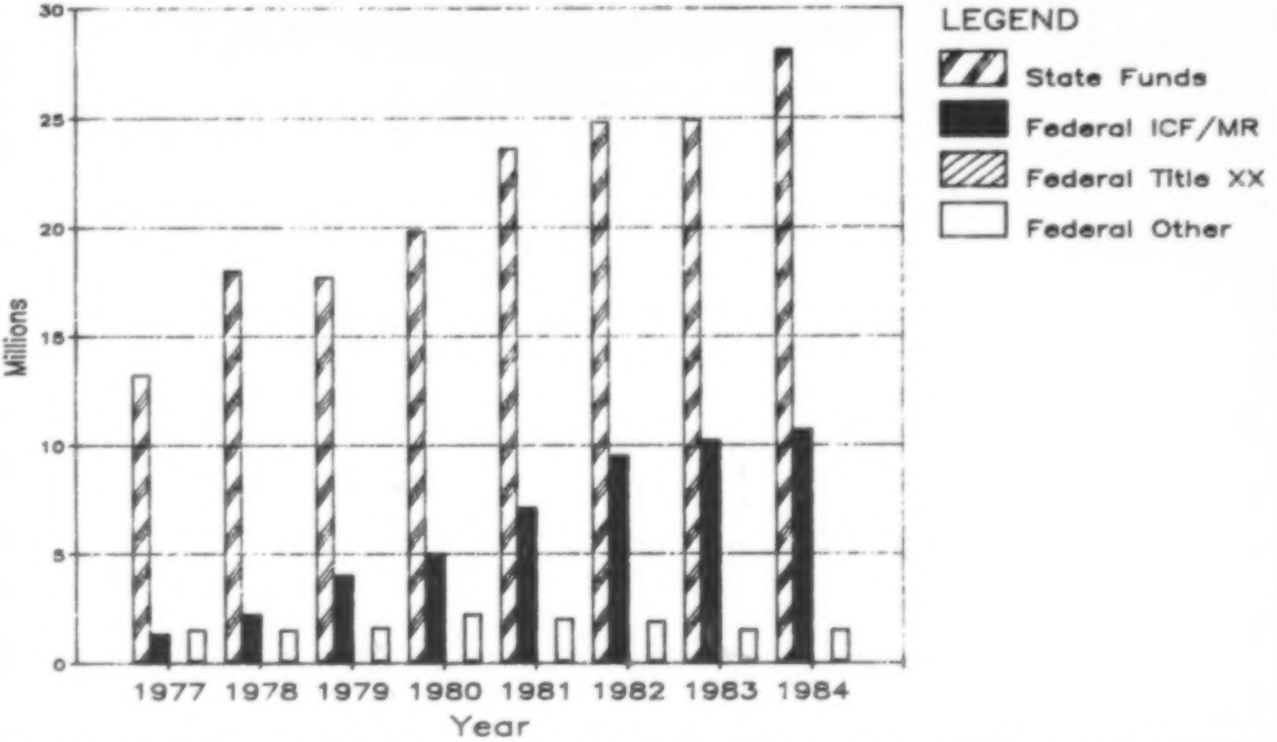
The Total State General Population FY 1977–1984



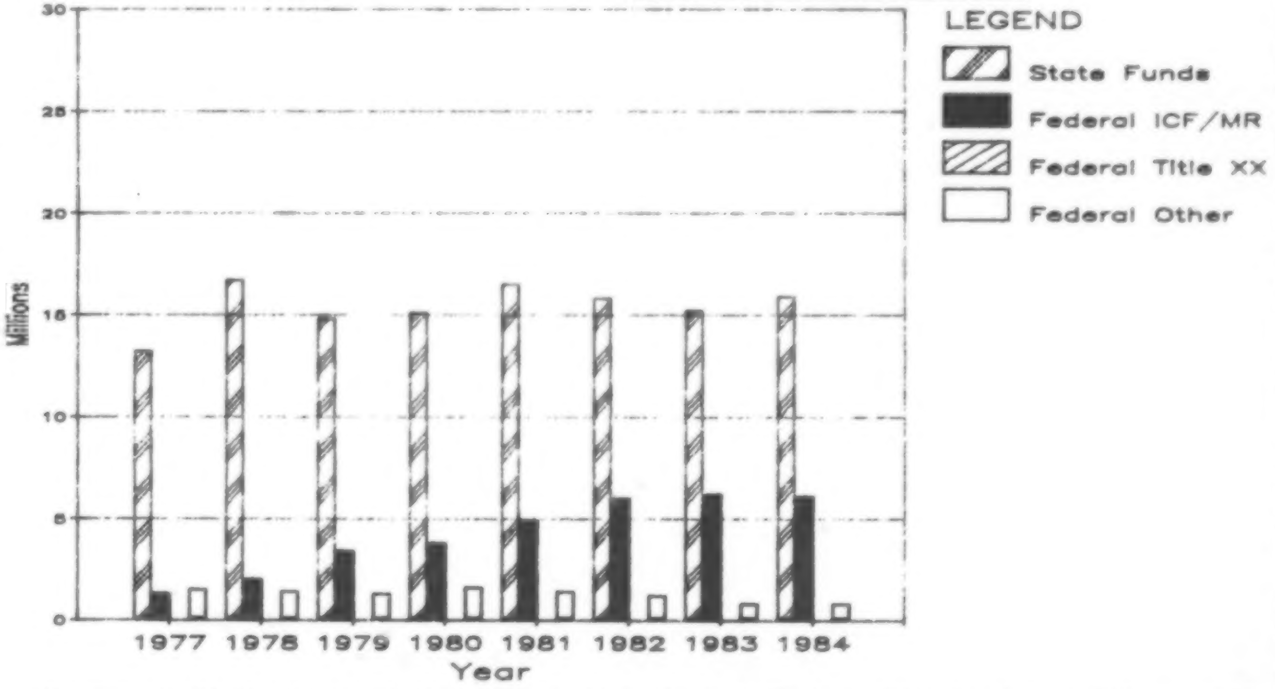
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

MISSISSIPPI

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977—1984, *In Unadjusted Dollars*



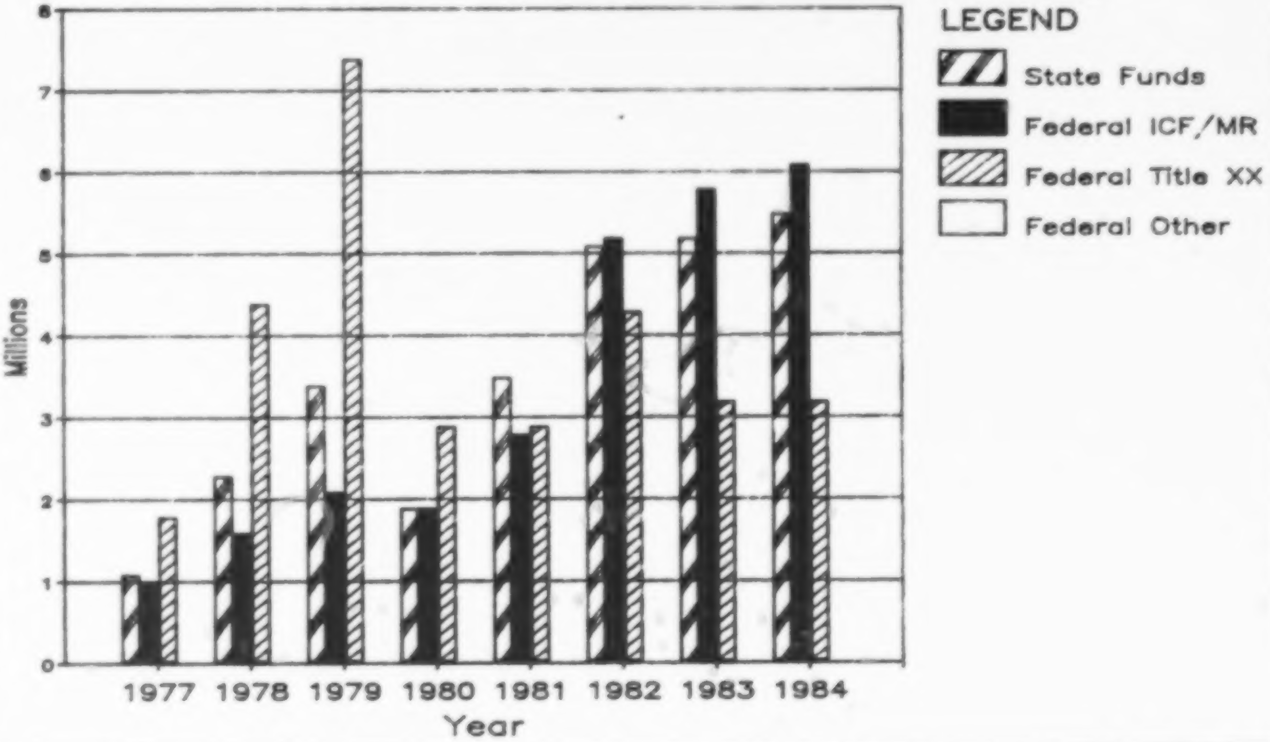
FY 1977—1984, *In 1977 Dollars*



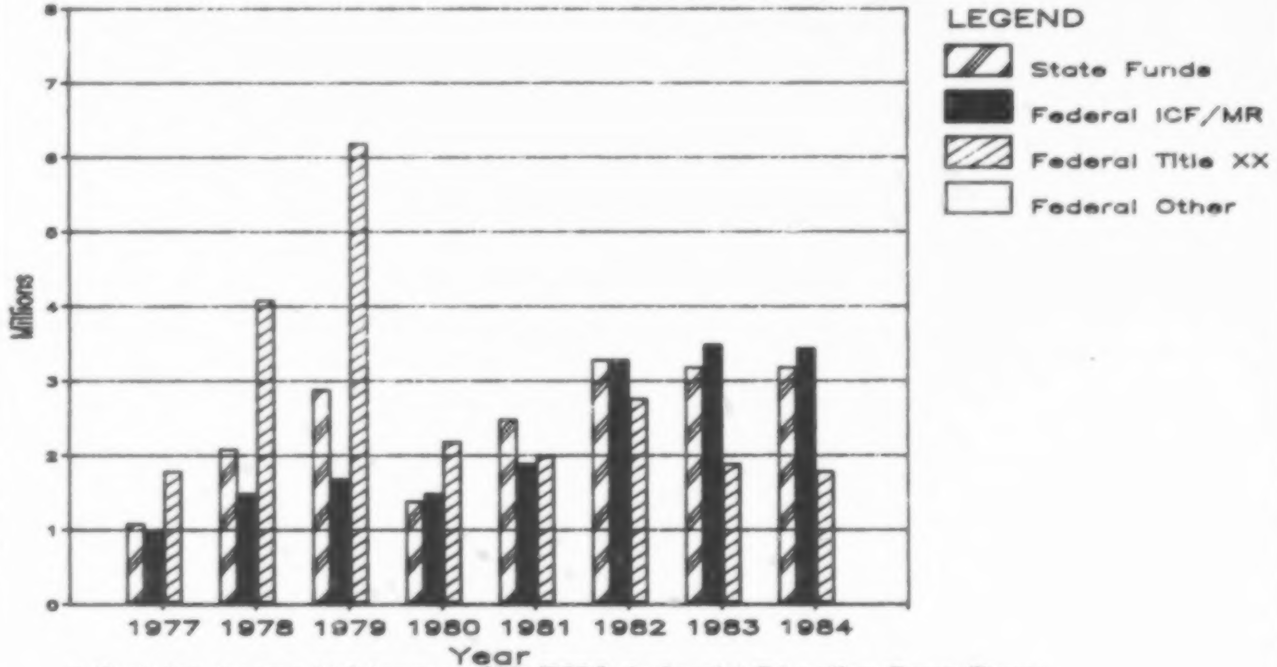
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



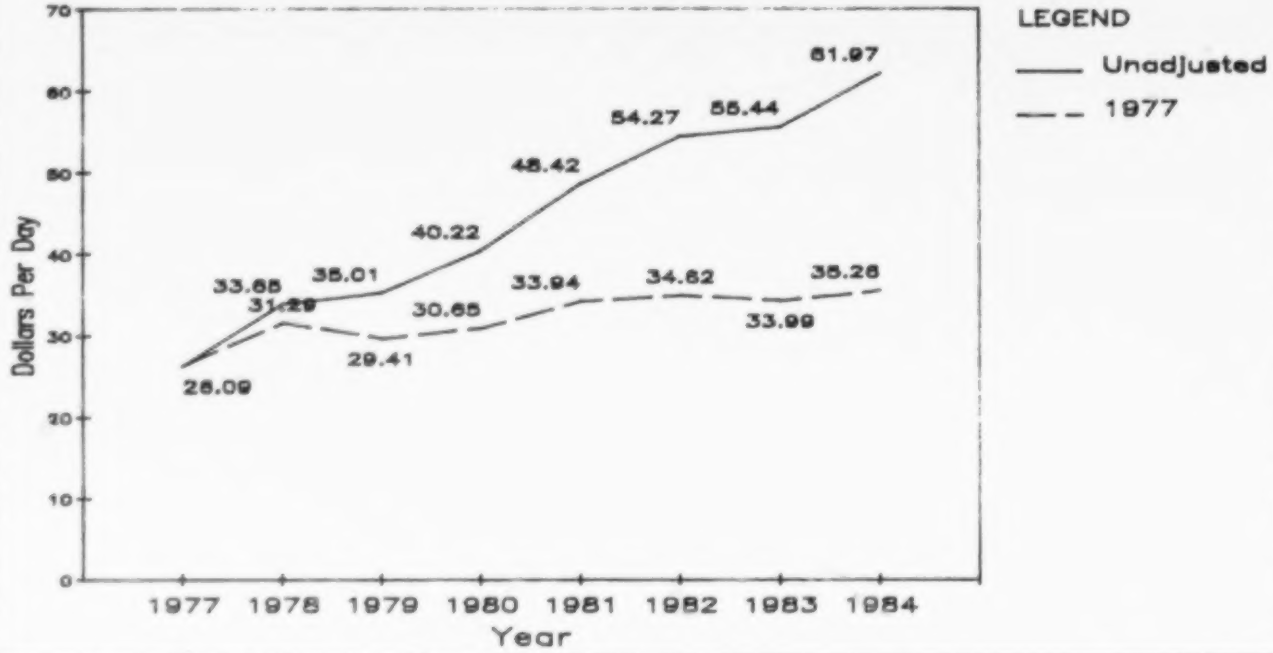
FY 1977–1984, *In 1977 Dollars*



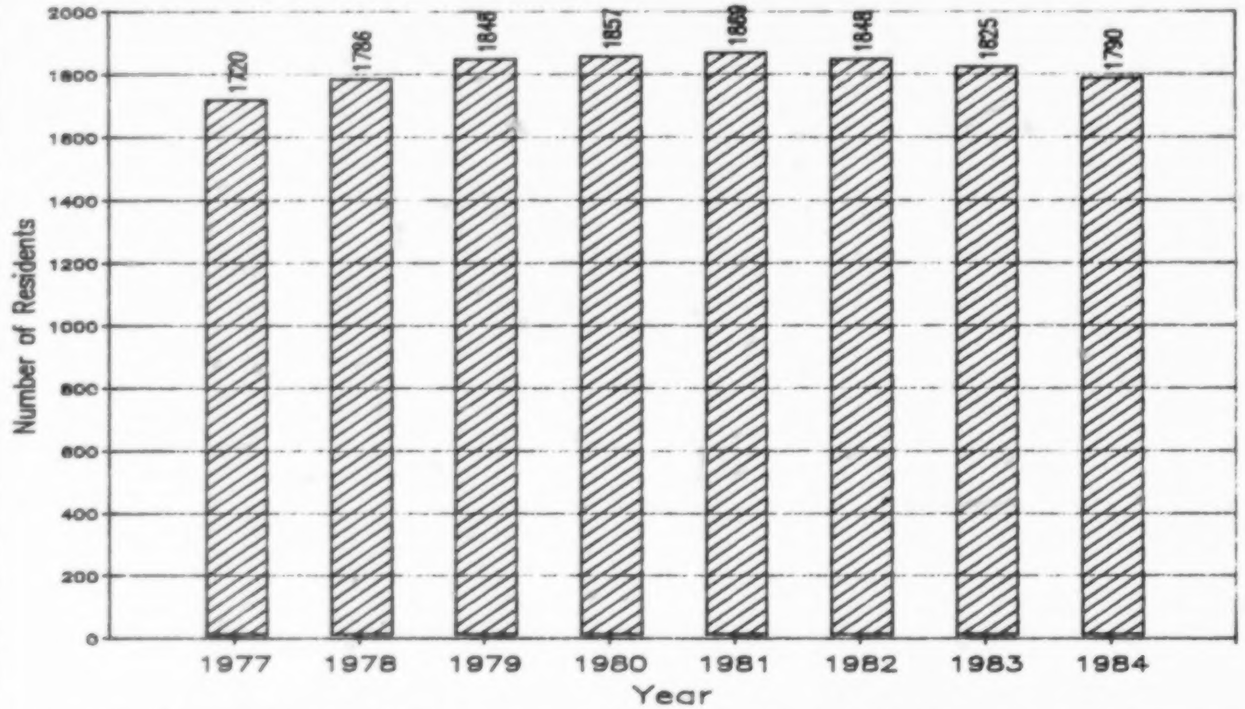
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSISSIPPI

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: MR/DD services in Mississippi are coordinated by the Bureau of Mental Retardation within the cabinet-level Department of Mental Health.

2. Budget Format: MR/DD Community services funding is intermixed with mental health community funding in the executive budget. Institutional services, however, are presented separately for each state DD Center. MR/DD budget organization is illustrated below:

DEPARTMENT OF MENTAL HEALTH

Beginning Cash Balance
State Appropriations
Federal Funds
Inmate Fees
Medicaid
Collections
Special Funds
Less Ending Balance

Department of Mental Health Central Office
State Appropriations
Federal Funds
Other Funds
Less Ending Balance

Department of Mental Health Services--Community (FY `81-FY `84 only)
State Appropriation
Block Grant
Title XX Funds

MR/DD Institutions (5 institutions, each listed separately)
Beginning Cash Balance
State Appropriation
Medicaid
Other Miscellaneous Funds (Private Pay, VA, etc.)
Less Ending Balance

II. INSTITUTIONAL SERVICES

3. Institutional Services refers to the funding of five institutions: Boswell Retardation Center, Ellisville State School (and Farm), Hudspeth Retardation Center, Northern Mississippi Retardation Center, and Southern Mississippi Retardation Center. The grand total for Institutional Funds is the sum of these facilities' total budgets--a figure taken directly out of the State Budget. Line items in this category, however, may not precisely total up due to rounding and minor omissions. Mississippi participates in the Title XIX program on a 77:23 Federal/State match basis. The Medicaid figures in the state budget for each facility combined federal and state shares. We have subtracted the state share from this combined figure, leaving the Federal share (the State share is included with Other State Funds--Note 6 below).

The aggregated average daily population at the state institutions has been:

1977 - 1,720
1978 - 1,786
1979 - 1,848
1980 - 1,857
1981 - 1,869
1982 - 1,848
1983 - 1,825
1984 - 1,790

Source: Ray Wallace, Bureau of MR, 7/23/84.

4. State General Funds consist of the "State Appropriations" line item, as presented in the Mississippi Budget, for each of the five state-operated MR institutions.

5. Title XIX refers to the summed Medicaid lines for the five state-operated MR institutions. As noted above--Note 3--the Federal/State shares have been separately identified in this analysis. No central office administrative costs are included. One center, Hudspeth, has referred to its Title XIX funds in the State budget as "Generated Funds" since 1981. In prior years, Hudspeth's budget had identified a Medicaid line.

6. Other State Funds consists principally of the 1) "Beginning Cash Balance" minus the "Year-end Cash Balance" for each state operated institution (summed). This may be a positive or a negative number in the table below; 2) a small amount of funds for fees paid by residents/families and for "farm income" at the Ellisville State School; and 3) the state share of the Title XIX-ICF/ MR reimbursements, summed for each facility.

   Beginning Cash Balance minus Year-End Cash Balance.

1977	1978	1979	1980	1981	1982	1983	1984
$157	(867)	(2,534)	(840)	(829)	--	1,048	5,019

   NOTE: Since a Year-End Cash Balance larger than the Beginning Balance would result in a negative number (e.g. 1978-1981) combining this figure into Other State Funds would decrease total Institutional Services expenditures, which is consistent with our analysis' efforts to accurately reflect operational costs each year.

7. Other Federal Funds in the Institutional Services category is comprised almost entirely (over 90 percent) of Federal project grant funding to a) the Ellisville State School and b) the Northern Mississippi Retardation Center.

III. COMMUNITY SERVICES

8. Community Services Funding estimates were derived from two state sources. First, Title XX funds expended for MR purposes were obtained from the Mississippi Public Welfare Department (Ms. Jane Lee, Social Work Program Administrator, 10/4/83). Budget records of the Public Welfare Department were inspected for MR-relevant costs incurred by the agency.

   Secondly, in the case of state funding expended for Community Services, only rough estimates could be obtained for years prior to FY 1981. Estimates for FY 1977-FY `80 were generated through telephone interviews with the State MR Program Director, Mr. Roger McMurtry, on 9/29/83 and 9/20/83. He was also interviewed personally in Jackson, MS, on 10/26/83. McMurtry estimated that approximately 1.5% ("between 1 and 2 percent") of all Mississippi Institutional Services funds budgeted was allocated for Community Services statewide between FY 1977-FY `80. In FY 1981, the percentage Mr. McMurtry estimated, jumped to 3.5% ("between 3 and 4 percent"). According to Mr. McMurtry, one center, Hudspeth, has allocated a much higher percentage of its budget for Community Services since 1981, approximately 12.5% ("between 12 and 13 percent"). These State General Fund funds estimates for Community Services have been utilized for FY `77-FY `81 (and Institutional Services State General Fund was correspondingly decreased).

   Community expenditures from the institutional budgets have been enriched annually since 1982, with specific funds budgeted under the "Mental Health Services" line item in the Mississippi State Budget. McMurtry indicated these MR/DD sums amounted to $250,000; $448,000; and $533,000 for FY 1982, 1983, and 1984 respectively.

9. Title XIX. At present, Mississippi expends no funds on State-operated community-based ICF/MR's, nor are there any Community Care Waiver revenues.

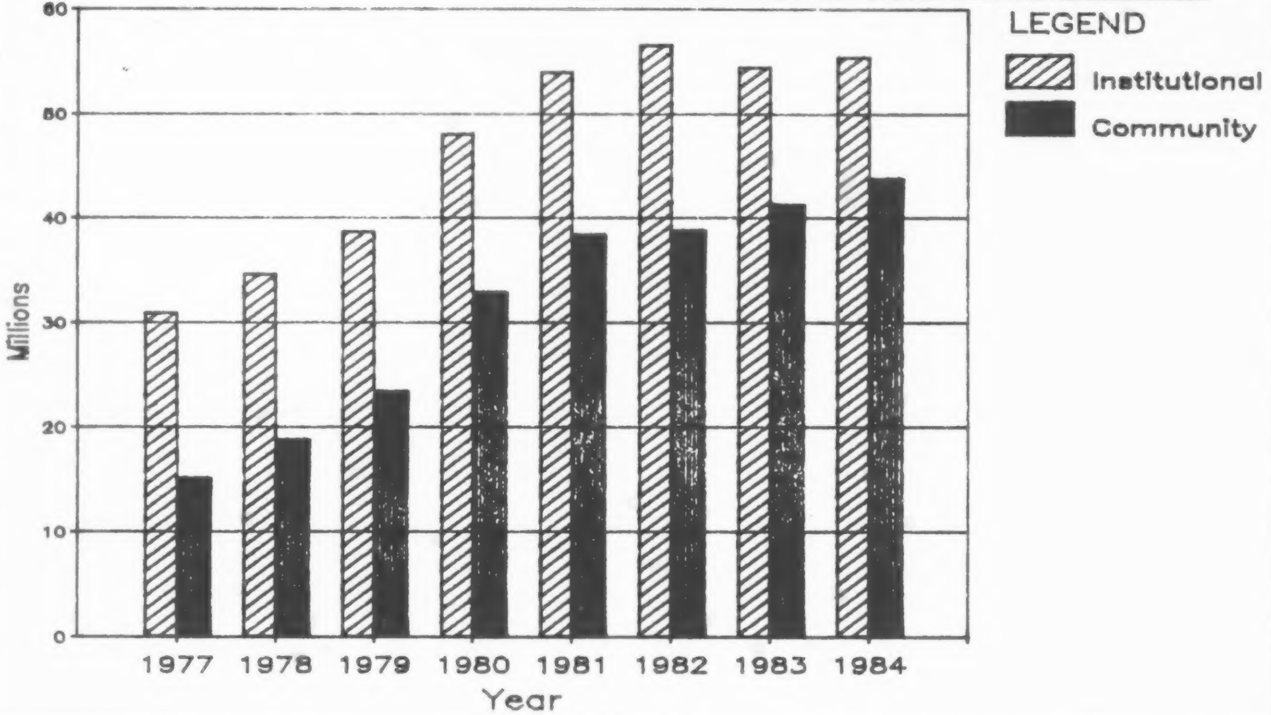
10. Title XX. Title XX funds have been used in Mississippi to fund MR/DD Community Services for nearly a decade. McMurtry, noted that in 1976, Mississippi was potentially eligible for $60,000,000 in Title XX funding that year, but it received only $4,000,000 due to an inability to raise additional state matching funds. Of the $4,000,000 that was received, however, $3,250,000 was expended for MR/DD. Title XX funding levels were obtained from an internal examination of Mississippi Title XX records from FY 1977-1980, on a contract-by-contract basis. This analysis was performed for the project by Ms. Jane Lee, Social Work Program Administrator, Mississippi Department of Public Welfare and staff in that Program. Data were transmitted in a series of telephone interviews on 9/29/83, 10/2/83, 10/3/83, and 10/4/83. Substantial Title XX matching funds were donated by local MR services organizations, over 90 percent of the required 25 percent match. This local sum has been included in the calculations and carried in the Community Services-State Funds subcategory entitled Other State Funds. Lee also noted that even though Congress did away with matching requirements for Title XX in FY 1982, the Mississippi legislature continued to require a match from participating contractors. It is evident from an inspection of the historical Title XX funding data, that Mississippi used Title XX funds to help finance a substantial part of its Community Services operations during the FY 1977-1984 period. Only in FY 1983 and FY 1984 did Mississippi state/local expenditures for MR community services exceed Title XX federal funding levels. However, the diminished utilization of Title XX funding after FY 1979 is in major part due to the conversion of Title XX day care expenditures to special education financing (McMurtry, 9/20/83). P.L. 94-142 brought additional funds into Mississippi for this purpose which are not reflected in our analysis. Total Institutional and Community Services expenditure levels for FY 1980 show a small drop from FY 1979 levels and this drop is in large measure due to the fact that special education funding is not reflected in the data.

    The slightly elevated Title XX figure for FY 1982 ($4,350,000) represents funding for 15 months. Mississippi converted to an October 1 - September 30 fiscal year in 1982.

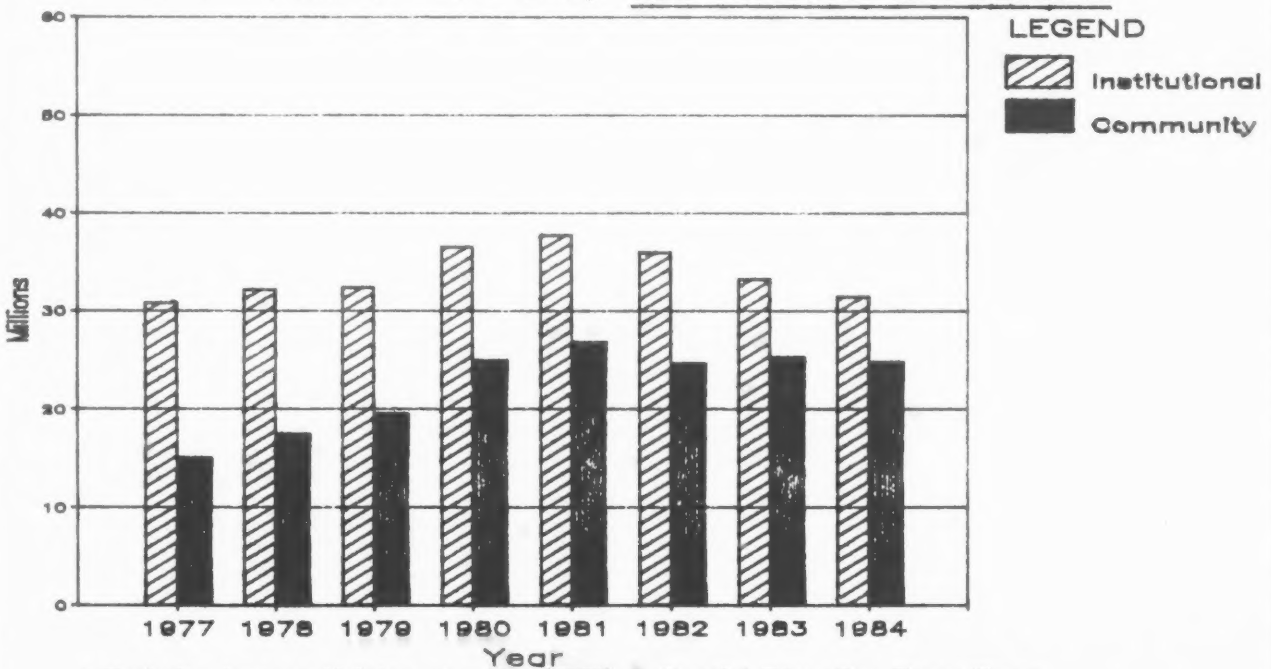
11. Private ICF/MR data for FY `78-FY `84 was obtained from the following source: Telephone interview, 9/15/83, Mr. Woody Westerfield, Mississippi State Medicaid Commission, Jackson. FY 1983 data is a commission estimate; FY 1984 data are commission projections. We imputed FY `77 private ICF/MR figures from the FY `77 and FY `78 actuals for state-operated reimbursements, determining the ratio of FY `77 figures to FY `78 figures.

MISSOURI
STATE PROFILE

MISSOURI
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

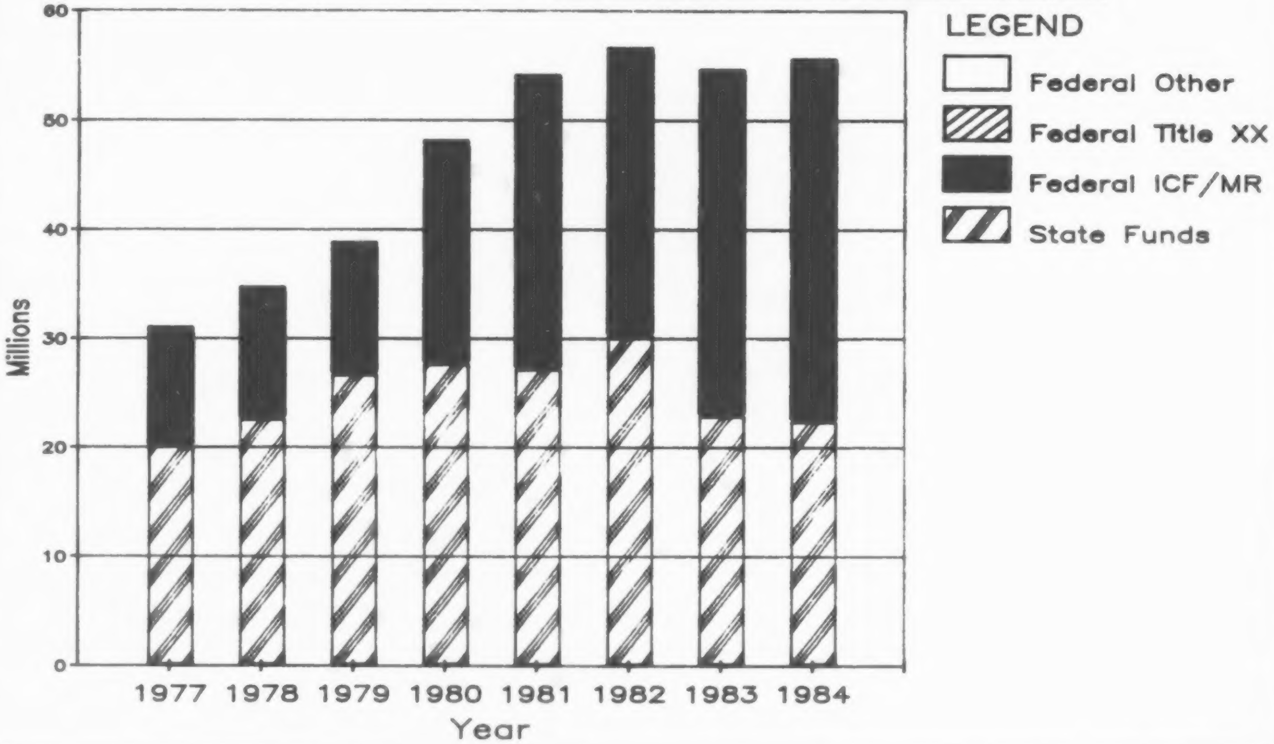


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

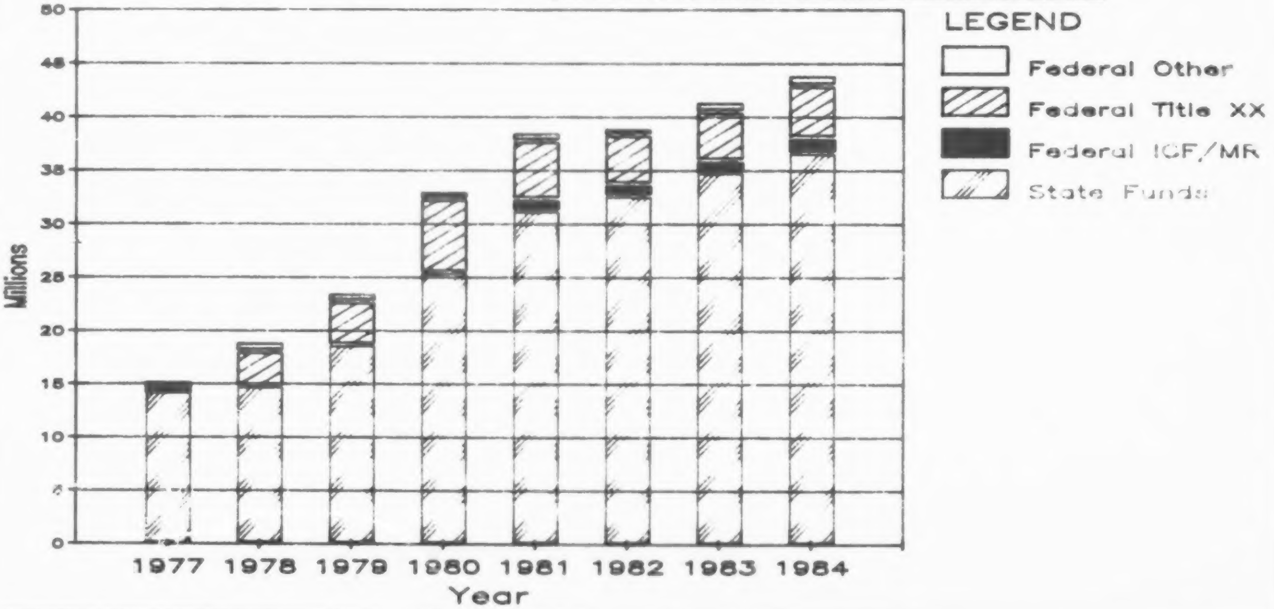
MISSOURI

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

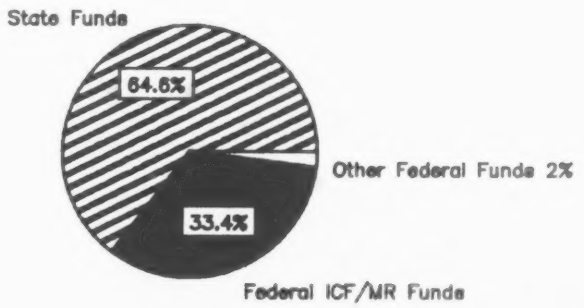


MISSOURI

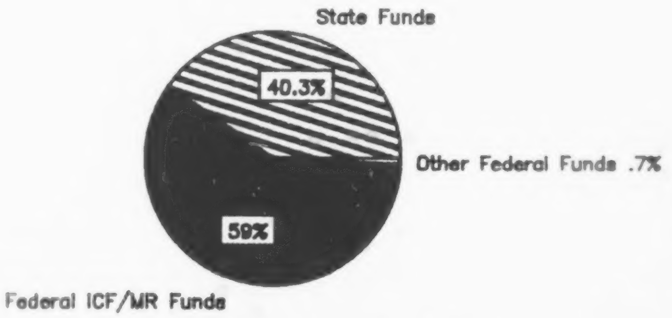
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



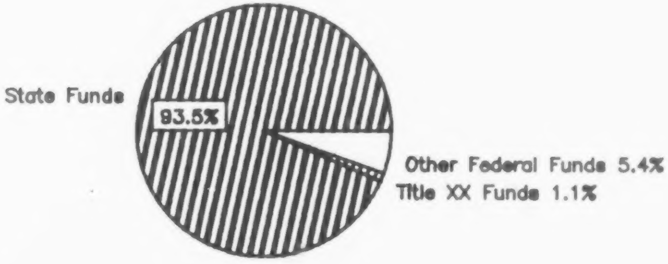
MISSOURI
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



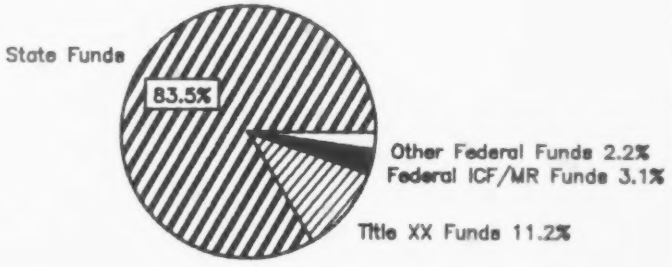
Institutional: 1977 Total Funds—$31 Million



Institutional: 1984 Total Funds—$56 Million



Community: 1977 Total Funds—$15 Million

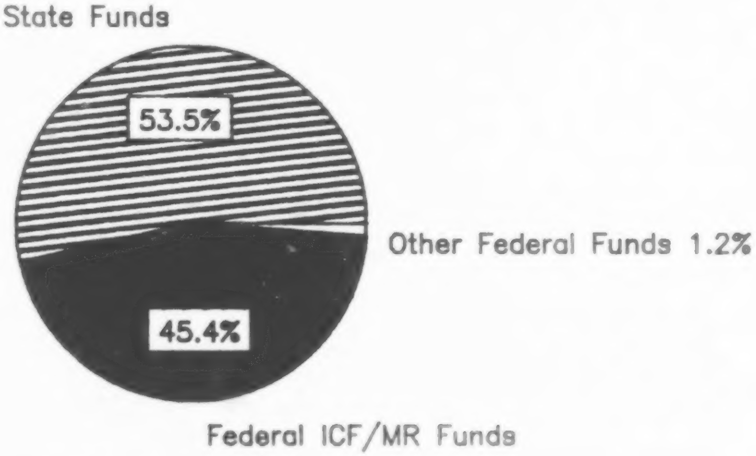


Community: 1984 Total Funds—$44 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

MISSOURI
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

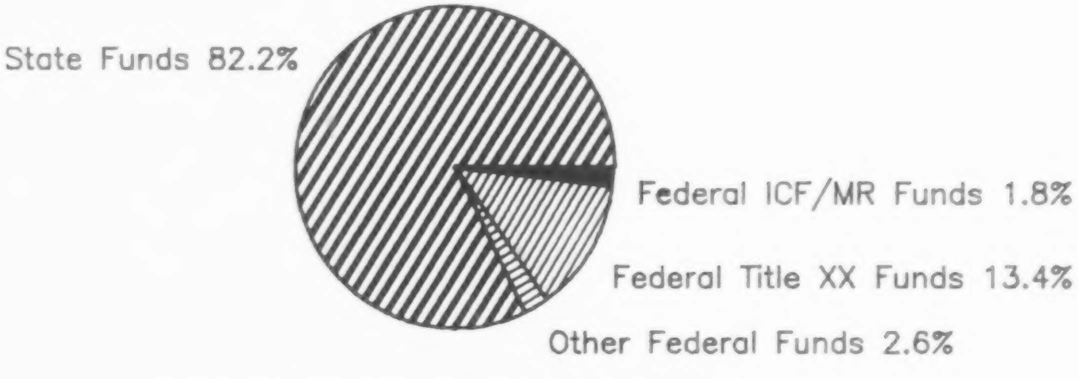
Institutional Services Funds



Total Institutional Dollars: $375 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

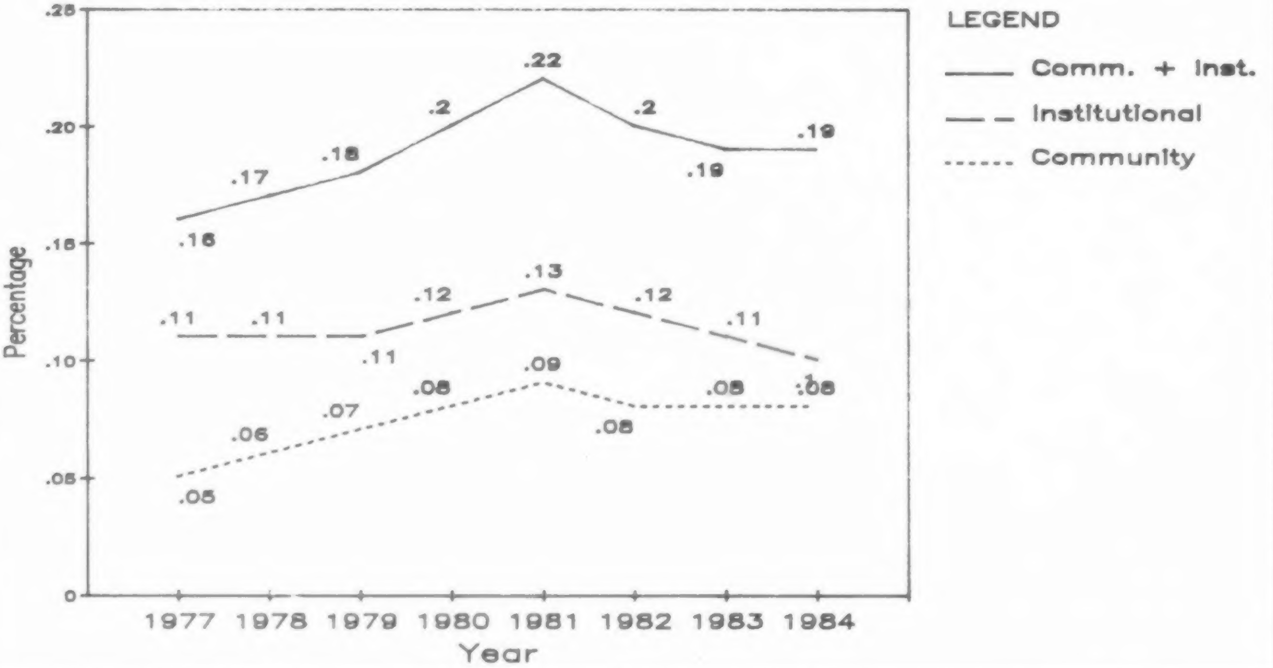


Total Community Dollars: $254 Million

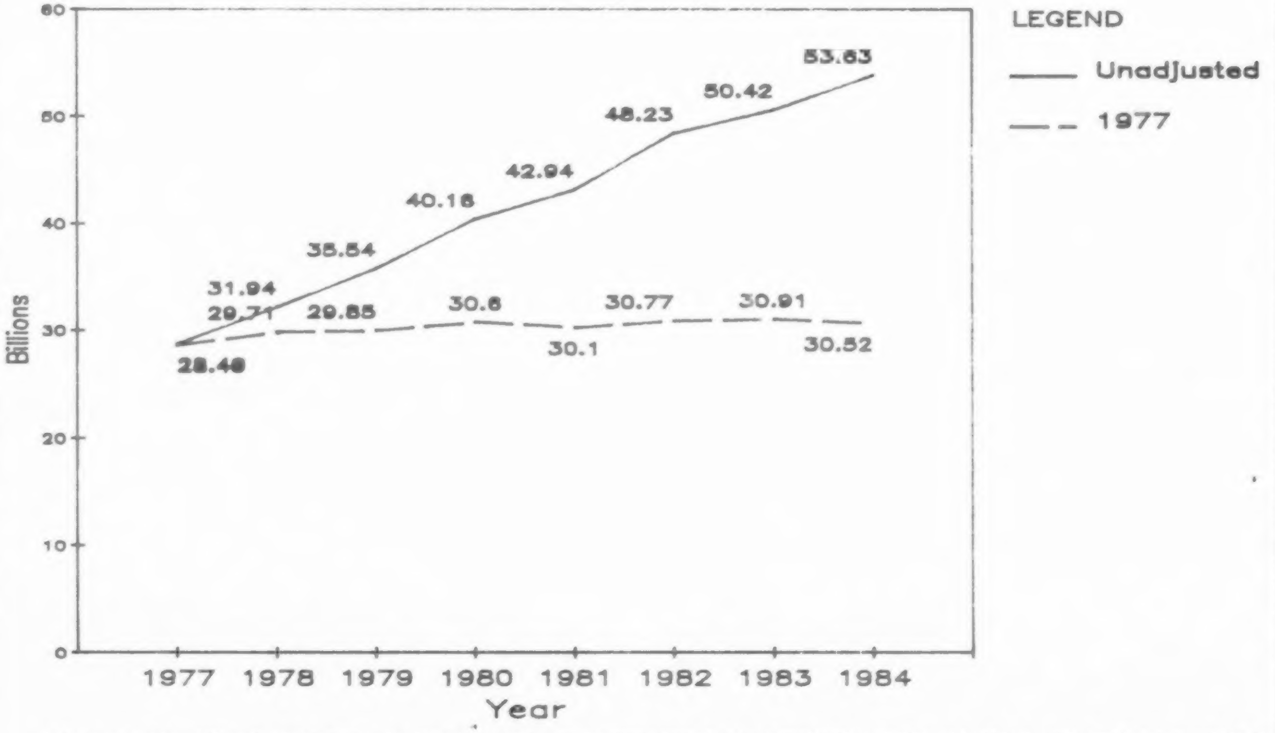
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



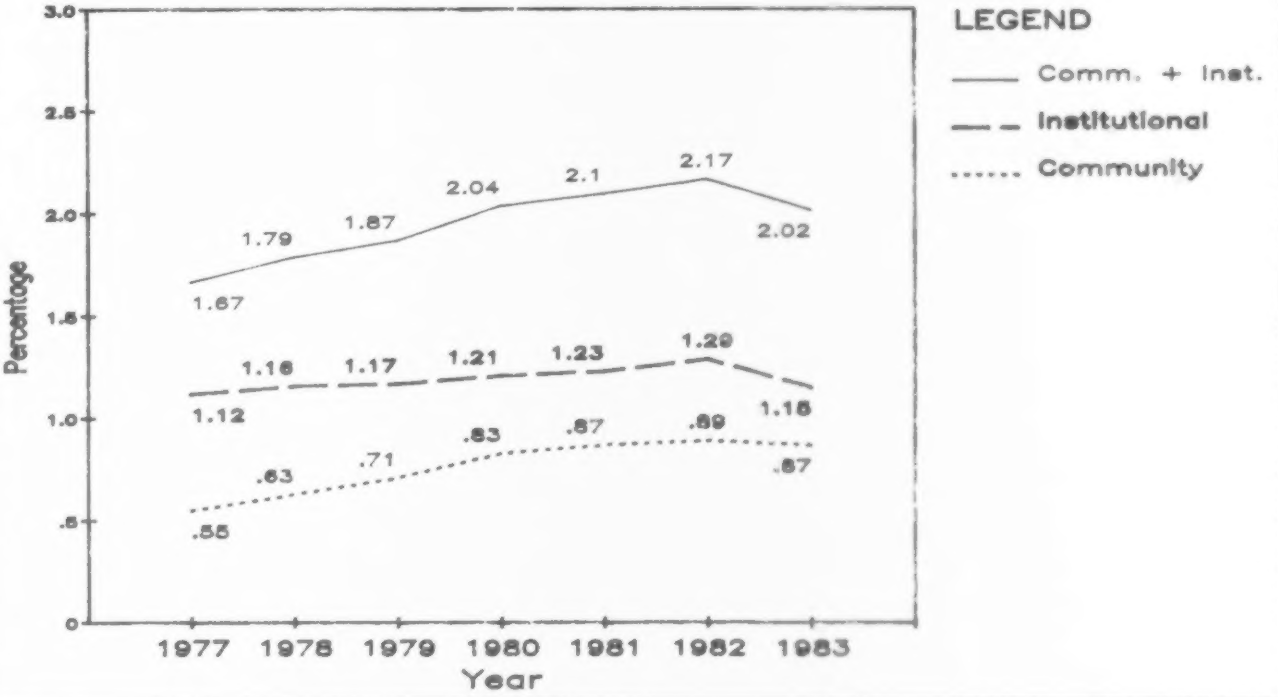
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



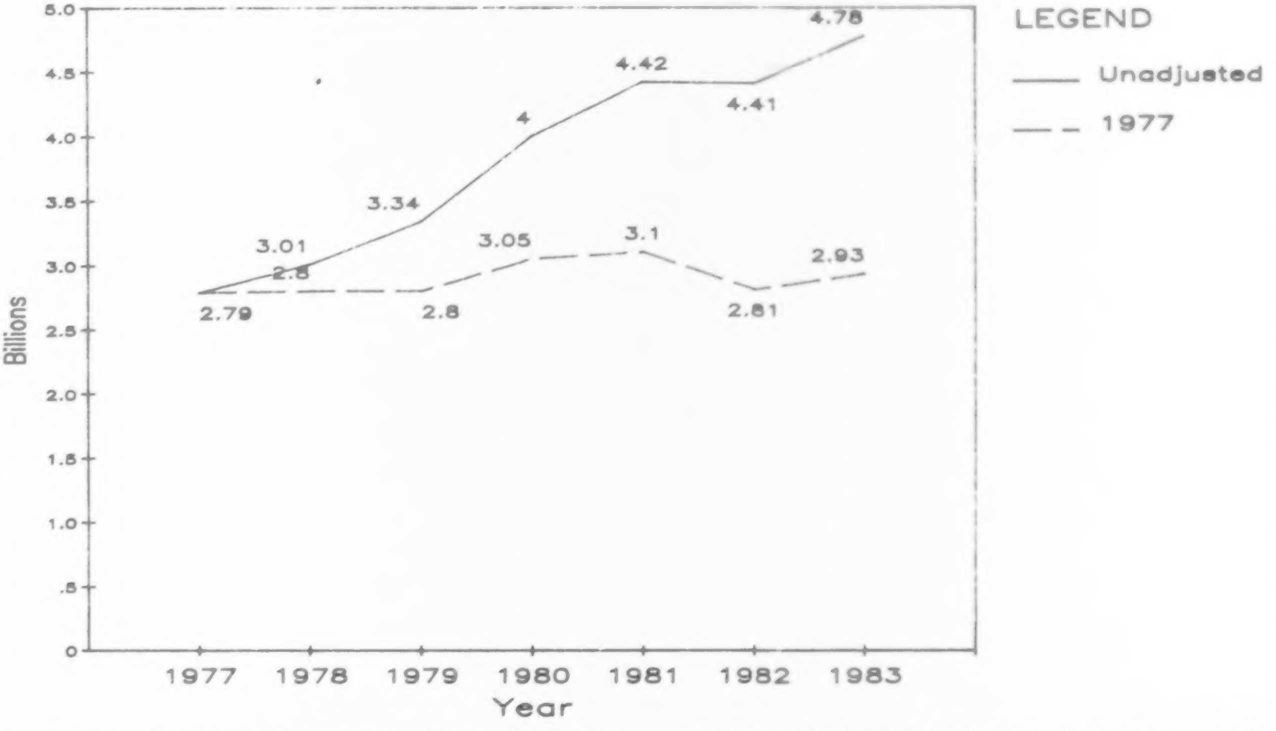
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977—1983



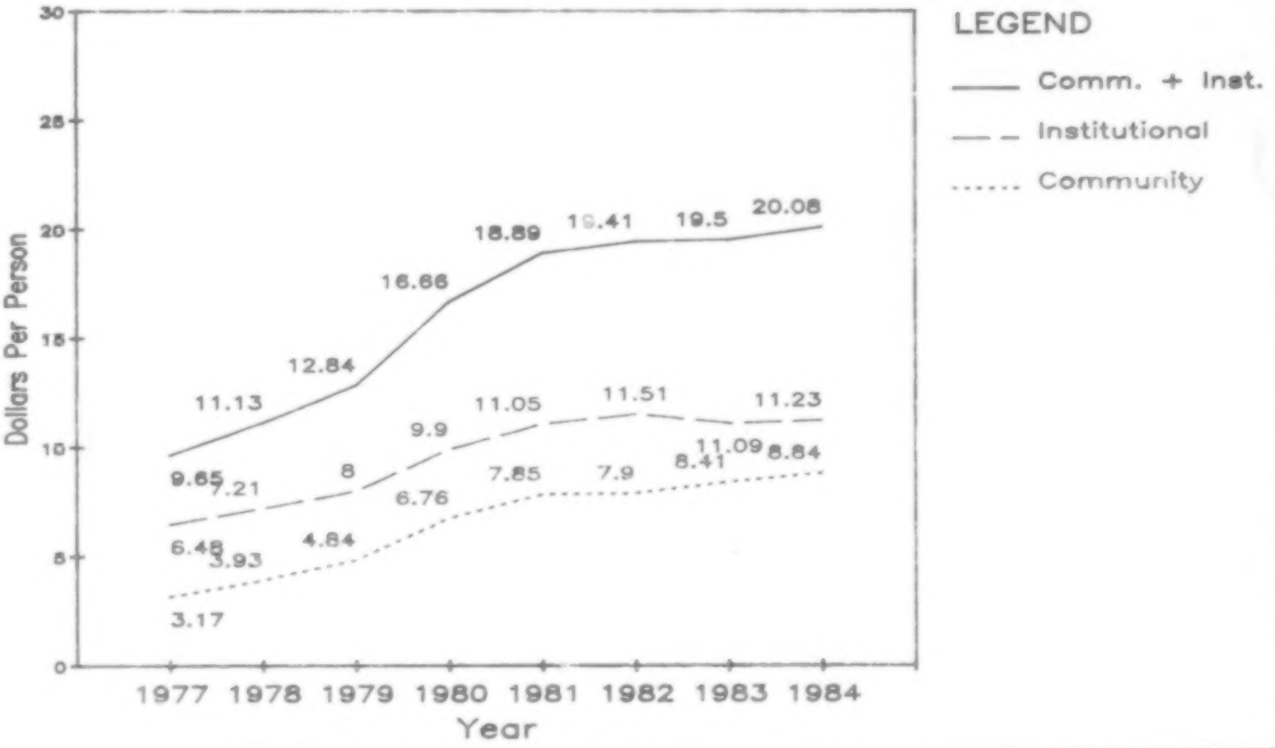
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977—1983



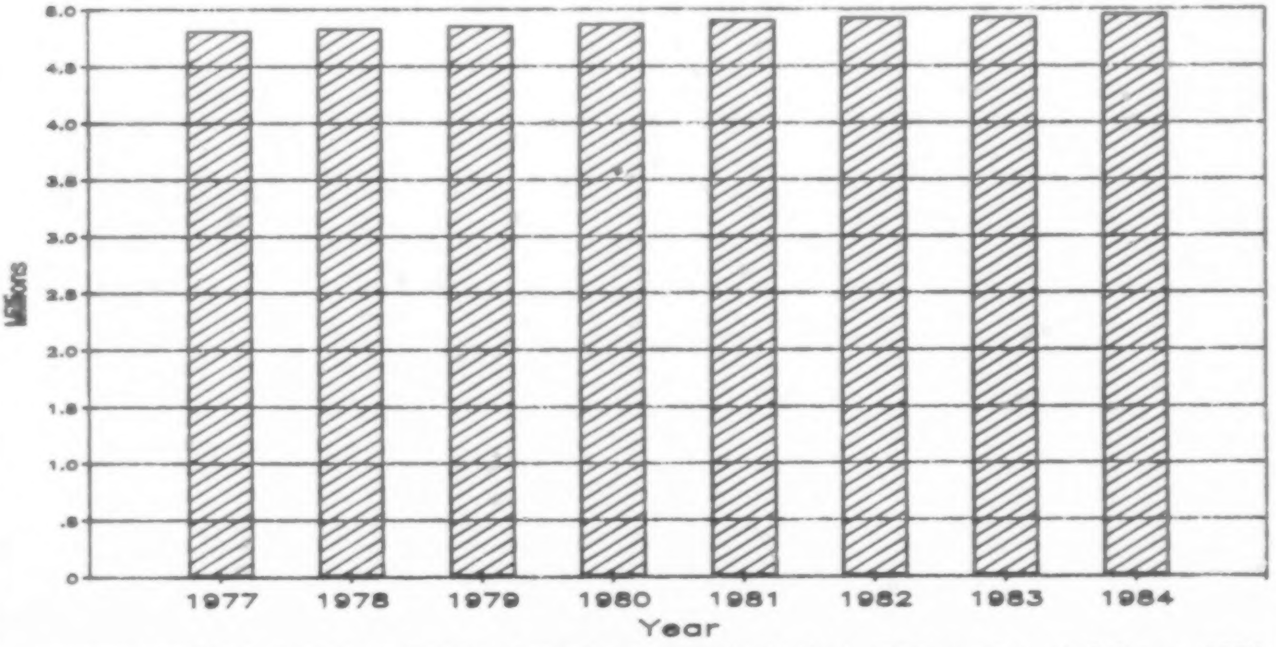
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

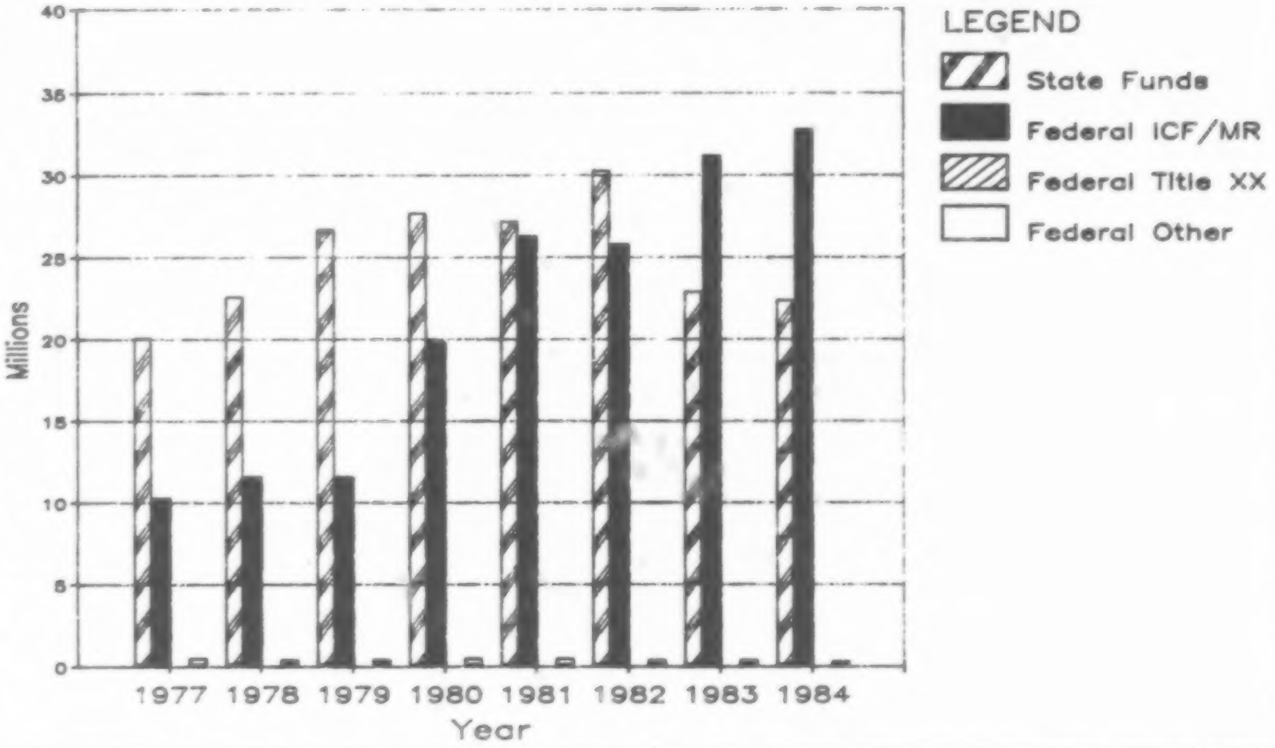


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

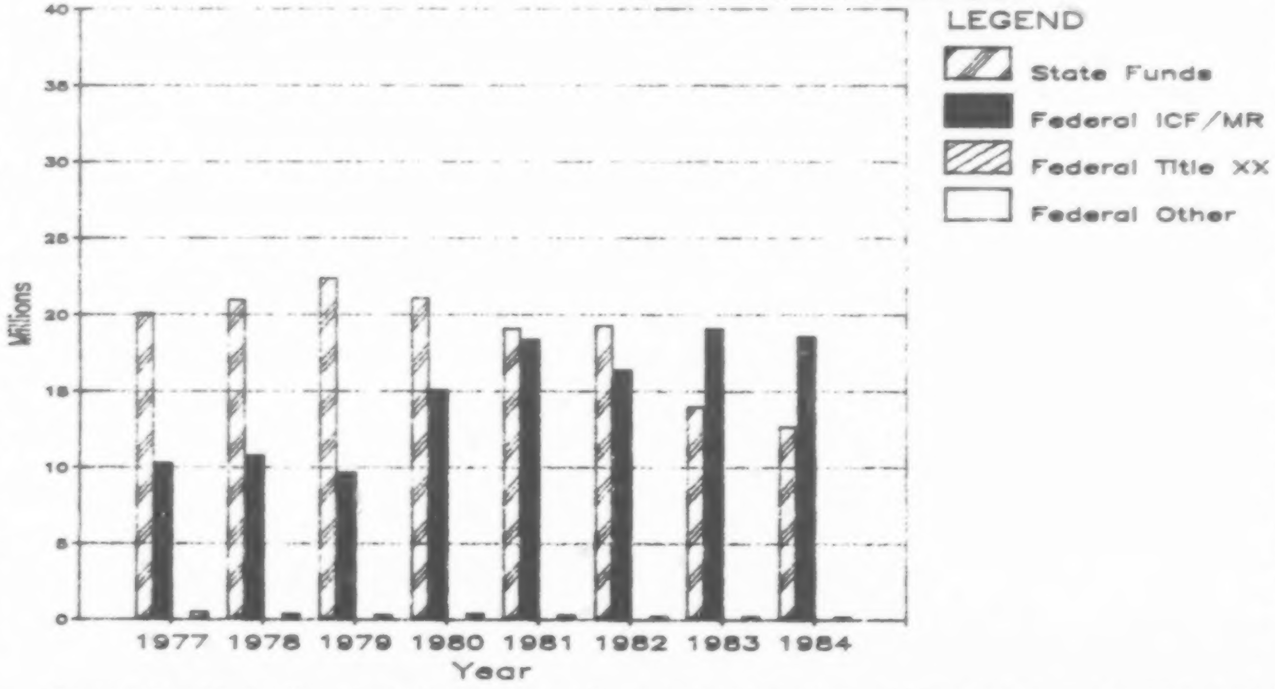
MISSOURI

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



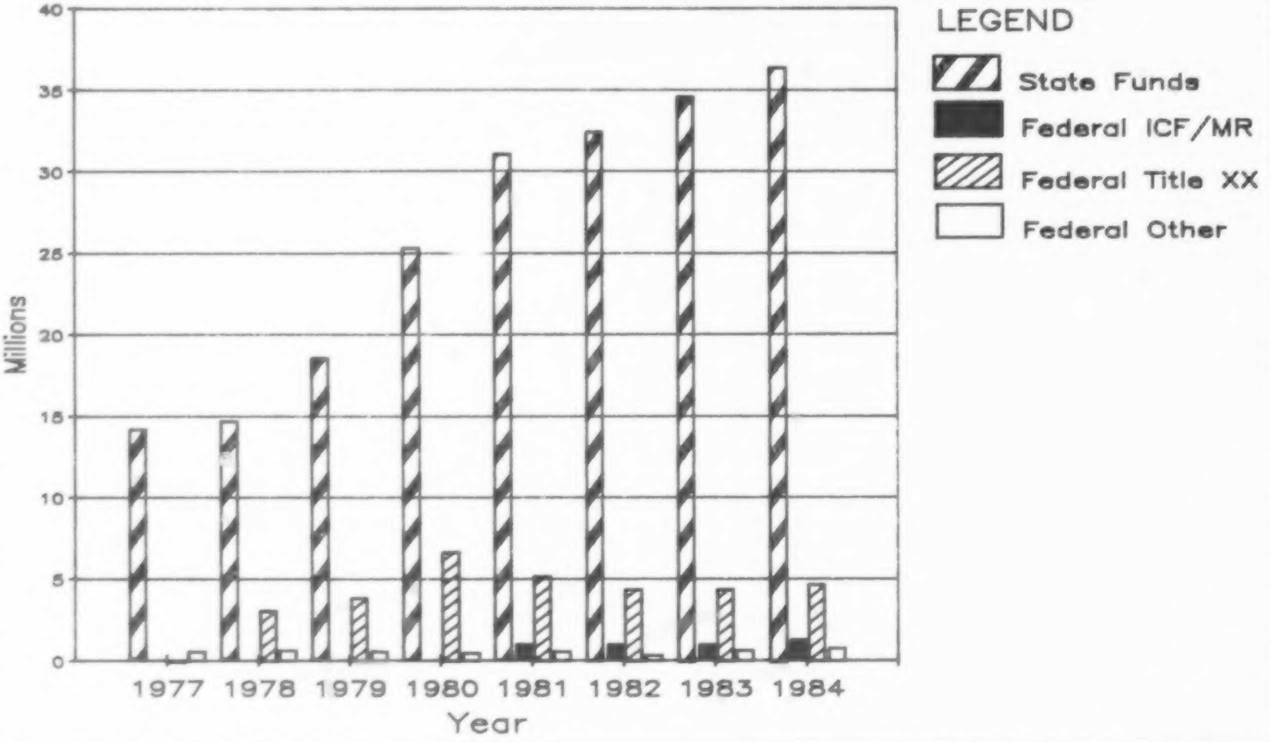
FY 1977–1984, *In 1977 Dollars*



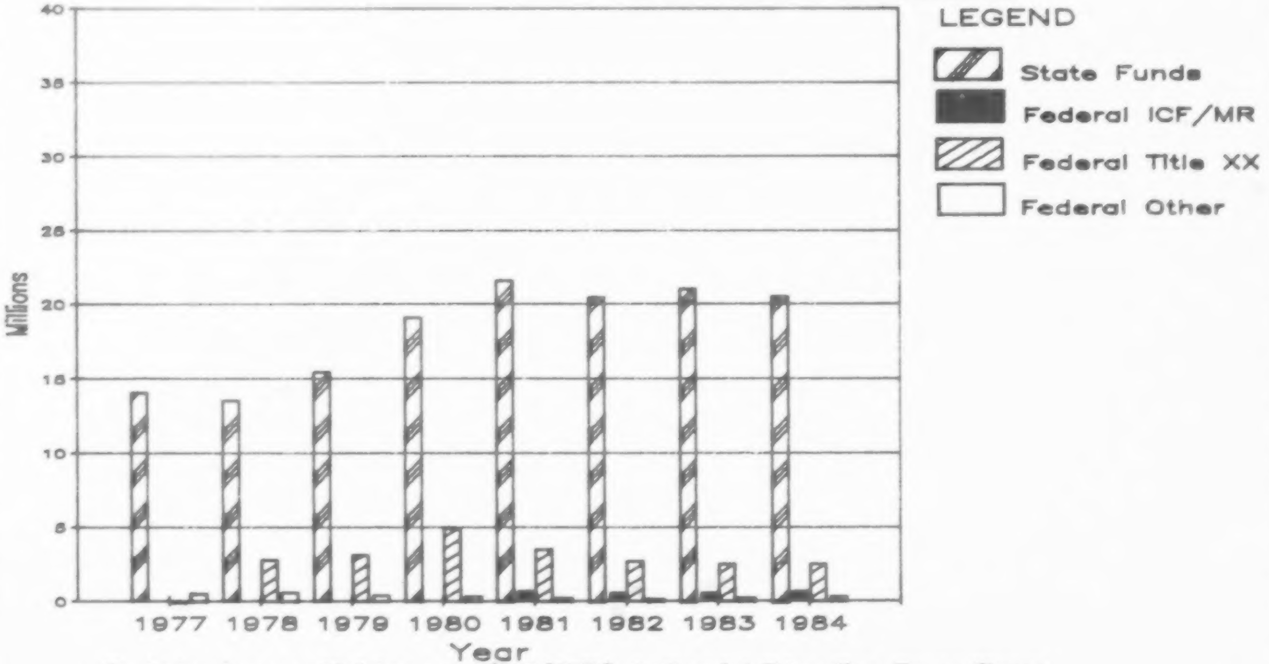
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



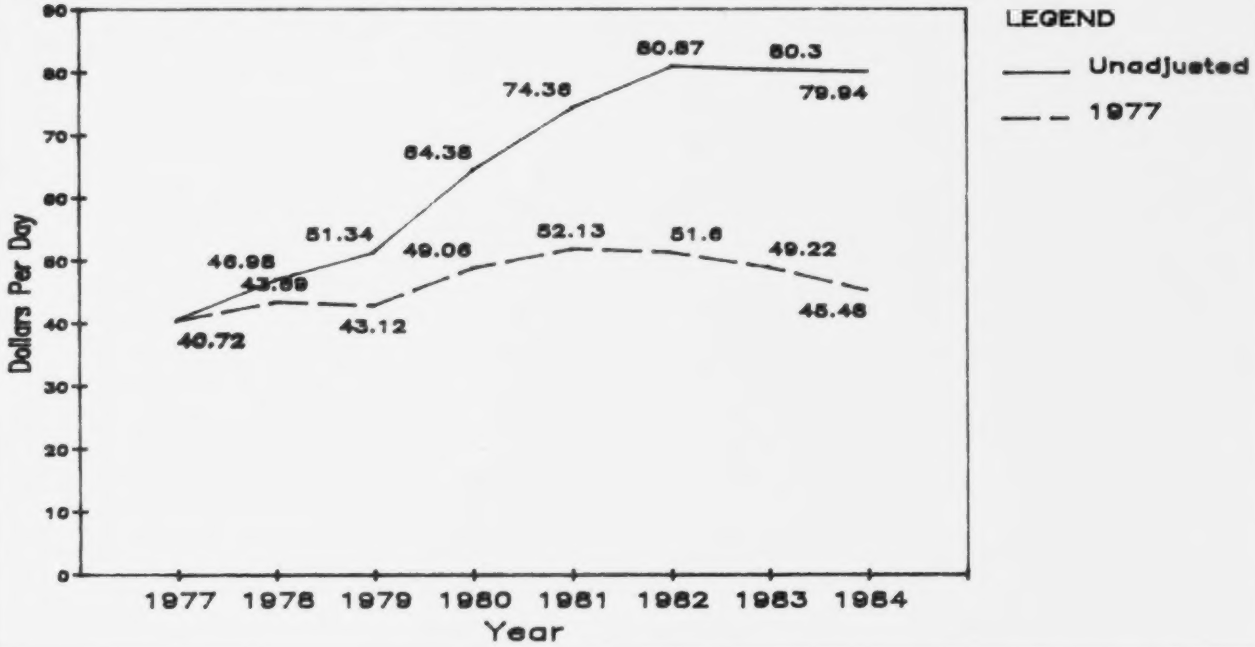
FY 1977–1984, *In 1977 Dollars*



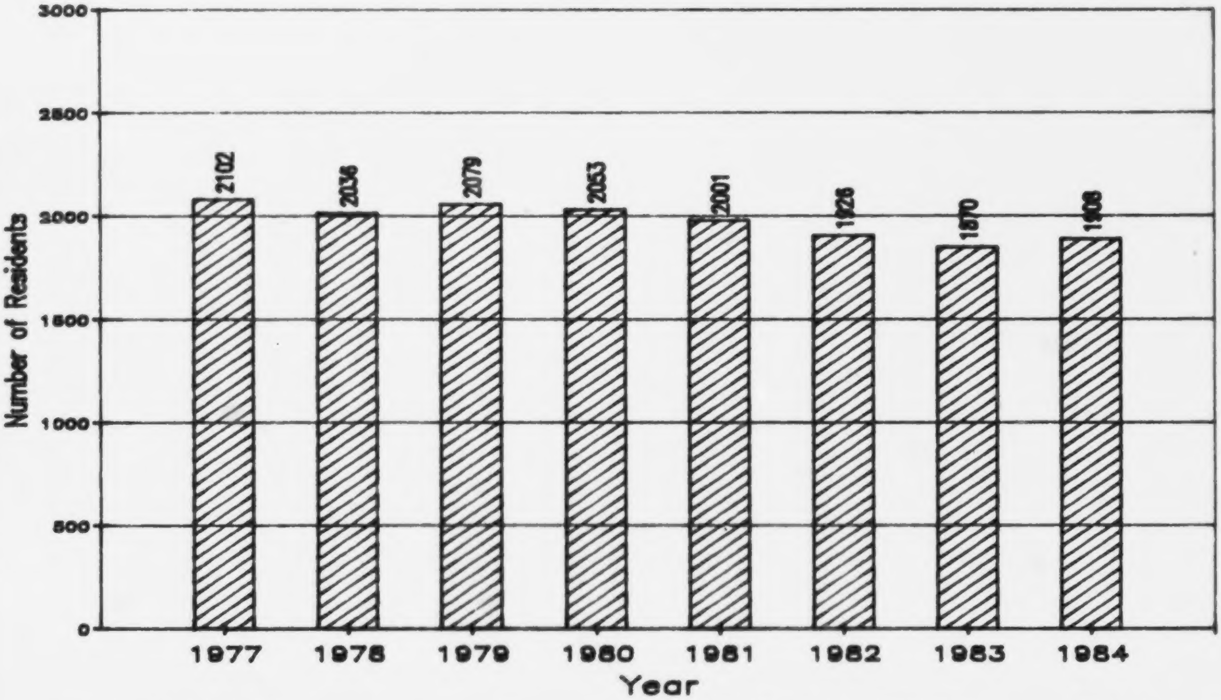
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MISSOURI

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Division of Mental Retardation and Developmental Disabilities (Division of MR/DD) is within the Department of Mental Health.

2. Budget Format: The budget contained expenditure breakdowns for the four State Schools and Hospitals and eleven Regional Centers; and for line items termed Patient Placement Payments and Purchase of Service, both within the Department of Mental Health's Central Office Administration. These lines, according to the FY ‘81 budget document had psychiatric, MR/DD and Alcohol/Drug Abuse units of service.

- Department of Mental Health
  - Division of MR/DD
    - General Revenue Fund
    - Federal Funds
    - Mental Health Earnings Fund
  - Institution-Based Services
    - State Schools and Hospitals (listed individually)
  - Regional Centers (listed individually)
  - Division of Comprehensive Psychiatric Services
  - State Hospitals
  - Mental Health Centers
  - Division of Alcohol and Drug Abuse
  - Central Office Administration
    - Administration
    - Community Placement (General Revenue Fund, Federal Funds)
    - Patient Placement Payments (General Revenue Fund)
    - Purchase of Services
      - General Revenue Fund
      - Federal Funds

3. Note on Data Sources: Missouri Executive Budget documents were reviewed for Budget Years FY ‘78, ‘80, ‘81, ‘82, ‘83 and ‘84. These provided "expenditure" figures for FY ‘78-FY ‘82, "current year planned expenditure" figures for FY ‘77 and FY ‘83, and a "Governor recommends" figure for FY ‘84 (subsequently revised to "appropriation"-- see Note 3 below). In order to better determine the fund sources for the MR/DD Community and Institutional Services and to clarify the categorization of the Regional Centers and any other possible Community Services subcomponents, Department of Mental Health staff were contacted.

   Correspondence on 9/22/83 from Mr. Nick Braccino, Controller, DMH, provided the MR/DD expenditure totals and Community and Institutional components with General Funds, Title XIX, Title XX and Other Federal Funds breakdown. FY ‘77 through FY ‘82 figures were reported to be "actual"; FY ‘83 was a "revised estimate" and FY ‘84 was an "appropriation."

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditures for the four State School and Hospitals (Higginsville, Marshall, Nevada, and St. Louis) and the St. Louis DD Treatment Center.

   The aggregated average daily residents figures for these facilities are:

   FY 1977 - 2,102
   FY 1978 - 2,036
   FY 1979 - 2,079
   FY 1980 - 2,053
   FY 1981 - 2,001
   FY 1982 - 1,926
   FY 1983 - 1,870
   FY 1984 - 1,908 (projected-based on 11 months)

(Source: Marvin E. Nebel, Research Analyst, DMH, correspondence, 6/20/84.)

5. State General Funds reported in the 9/22/83 correspondence were adjusted for the analysis in the following manner. The correspondence reported "State Funds" and, for FY `77 and FY '78 only, "Title XIX." For these two years we combined State Funds and this "Title XIX." The correspondence also reported federal share "Title XIX Collections," which we subtracted from "State Funds" (and from the "State Funds--Title XIX" combination figures for FY `77-`78). This produced a net State General Funds figure for our analysis.

6. Title XIX consists of the figures reported in the 9/22/83 correspondence as "Title XIX Collections."

7. Other Federal Funds as reported in the correspondence are primarily P.L. 89-313 (Title I) and Vocational Education Federal funds.

III. COMMUNITY SERVICES

8. Community Services consists of the expenditures for the Division's eleven Regional Centers, and the MR/DD units of service portions of the Patient Placement Payments and Purchase of Services lines.

9. State General Funds. In addition to "State Funds," the correspondence also reported (FY `77 and FY `78) figures termed "Title XIX," and these have been included in General Funds in the analysis.

   In a 9/29/83 phone interview, Mr. Greg Riley, Assistant Controller, DMH, indicated that these reported "Title XIX" funds are actually reimbursements for services at the State Hospitals which have been re-assigned as "community placement program" funds. Since the ICF/MR Federal revenue for Missouri as reported by the Health Care Financing Administration ($10,476,000 in FY `77 and $11,256,000 in FY `78) corresponds so closely to the funds reported in the correspondence as "Title XIX Collections,", we concluded that, for FY `77 and `78, those termed "Title XIX" funds ($3,367,049 in FY `77 and $2,070,000 in FY `78) should be added to the General Fund under Community Services, to more accurately reflect total expenditures for community service activities.

10. Title XX Funds are Federal Funds as reported in the 9/22/83 correspondence for Regional Centers and Patient Placement Payments and Purchase of Services. Note: Title XX funds were also reported in that correspondence under Institutional Services (between $6,000 to $23,000 per year) but these figures have been included in the analysis with the Community Services Title XX line. The State match (FY `77- `81) to these Federal Title XX funds is included within the General Funds figures reported to us in the 9/22/83 correspondence.

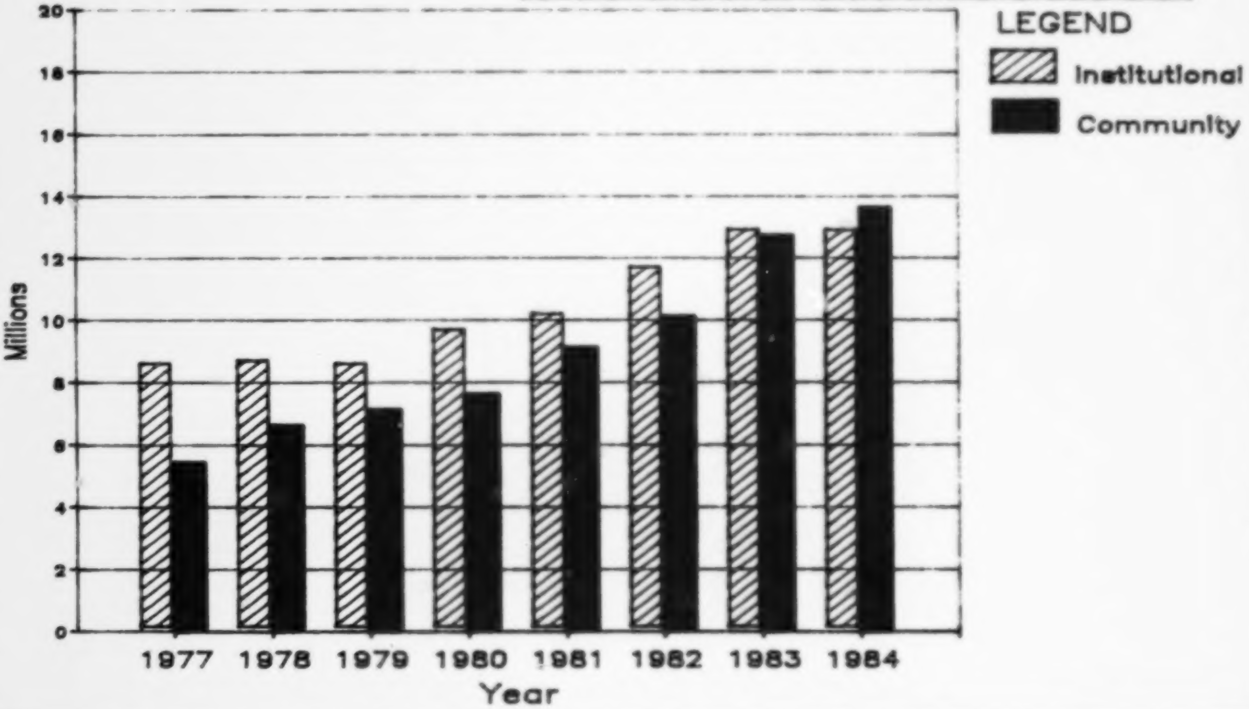
11. Other Federal Funds consist primarily of Developmental Disablities Act funds, managed by the Division of DD/MR, and passed through to community agencies (Riley, telephone interview, 9/29/83).

12. Private ICF/MR consists of the expenditure figures reported by Ms. Gretchen Engquist, Department of Social Services (telephone interview, 9/29/83).

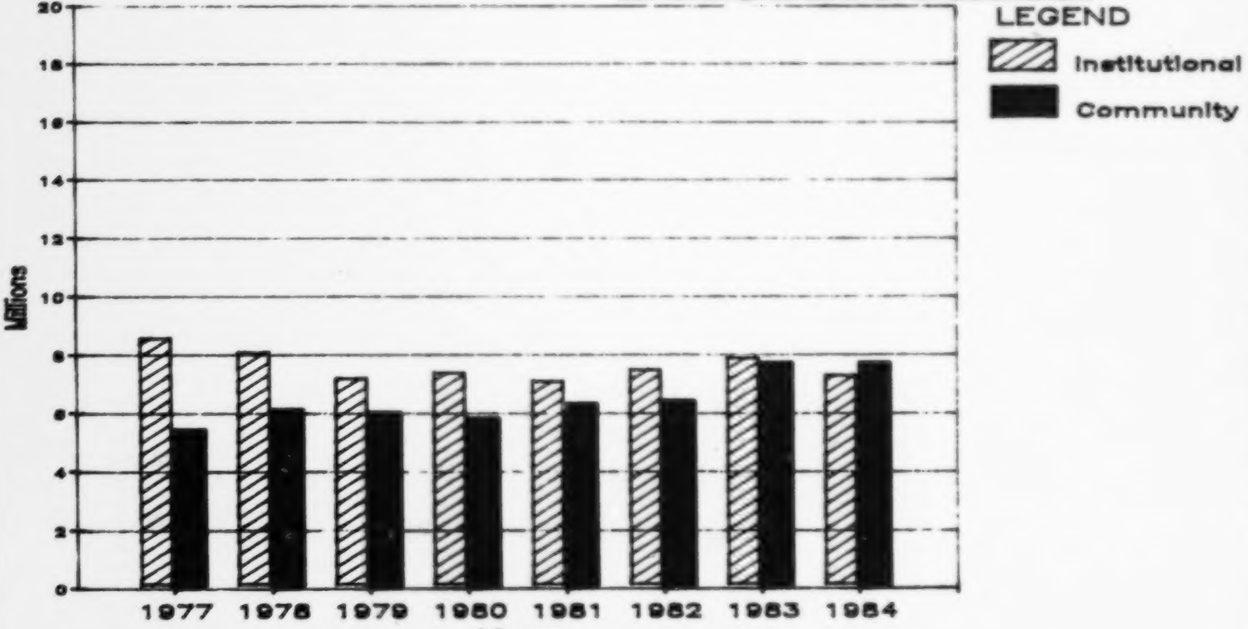
MONTANA

STATE PROFILE

MONTANA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

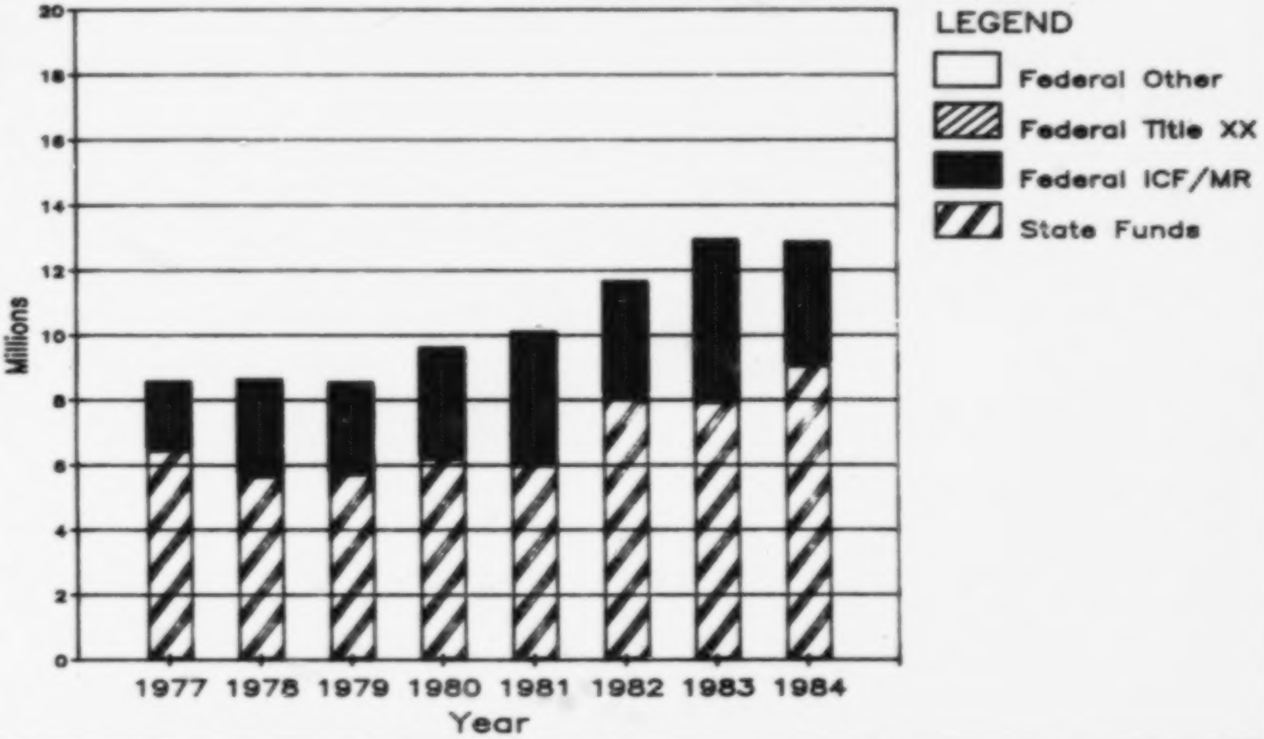


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

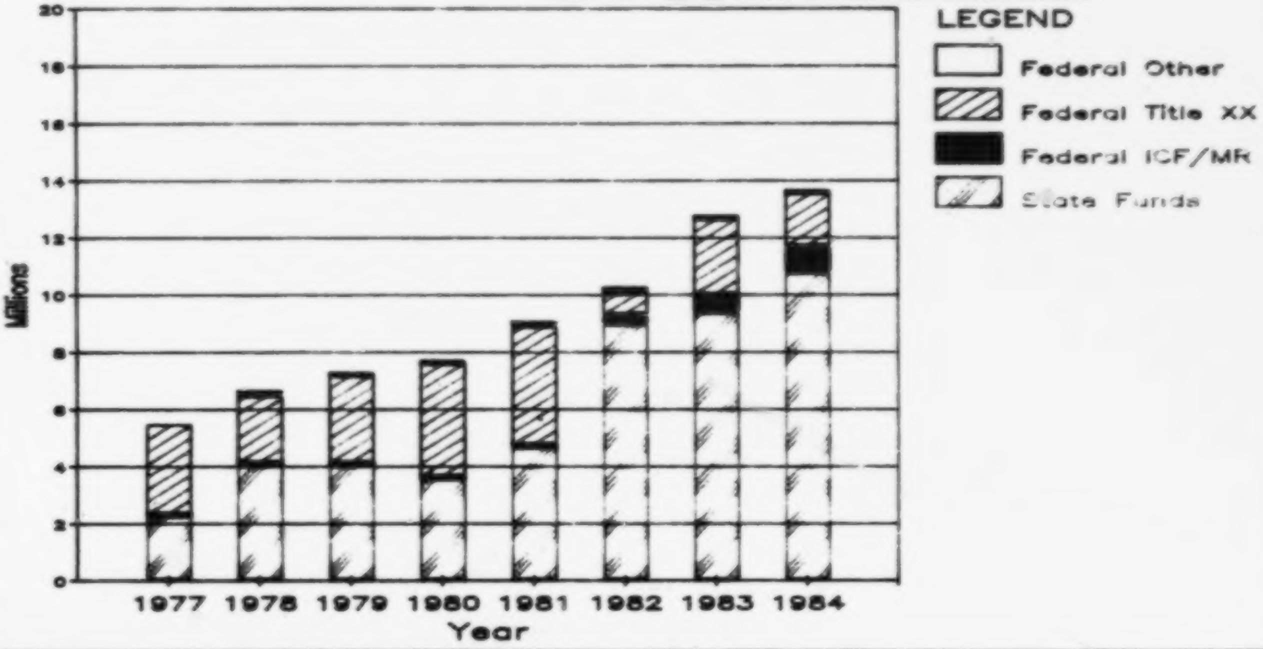
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

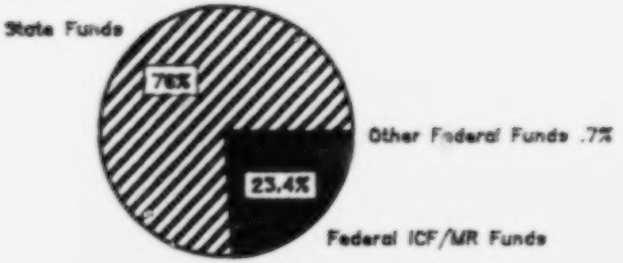


MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

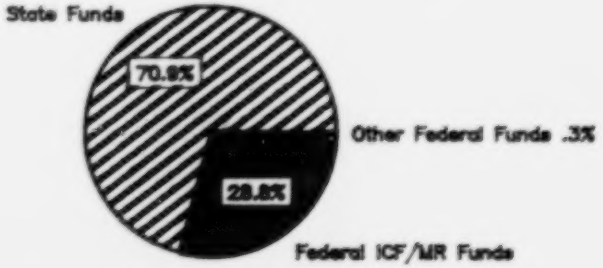


MONTANA

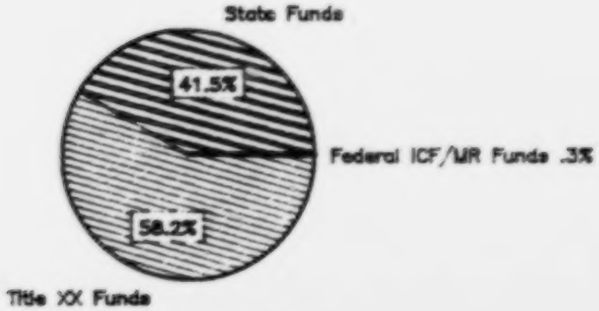
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



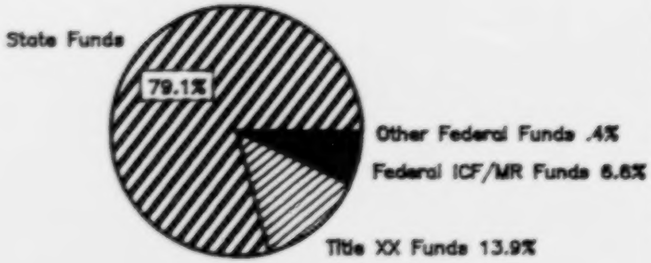
Institutional 1977: $8.6 Million



Institutional 1984: $12.8 Million



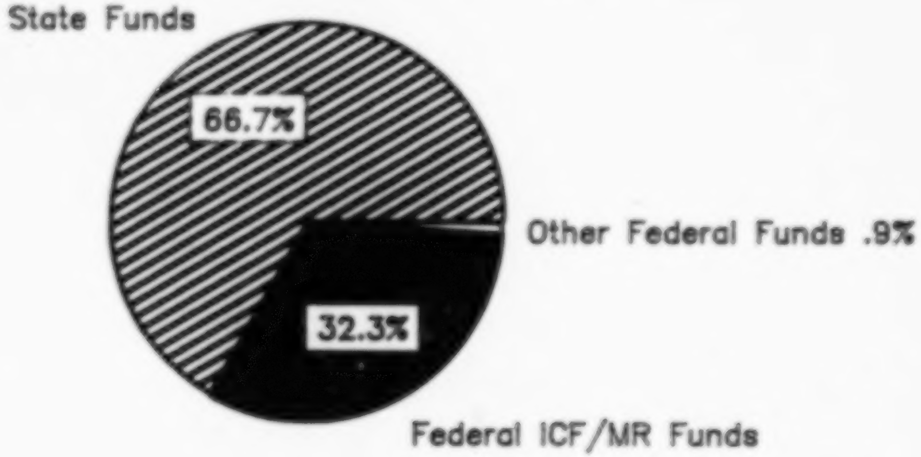
Community 1977: $5.5 Million



Community 1984: $13.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

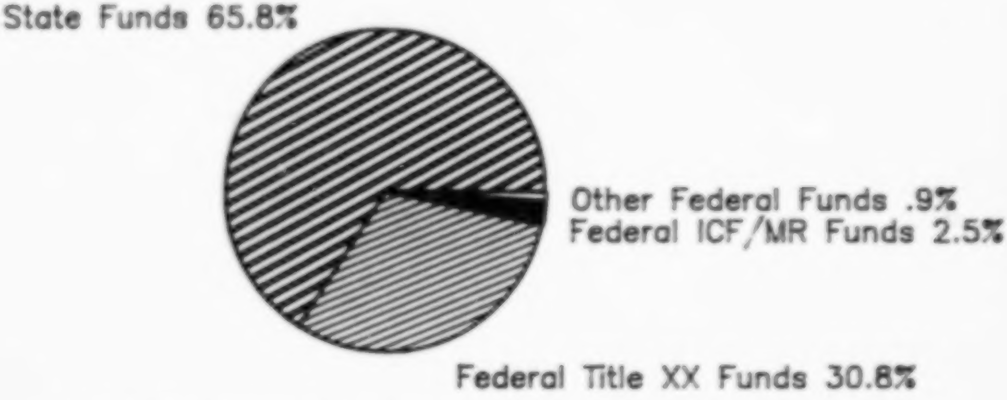
MONTANA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Funds: $83.2 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

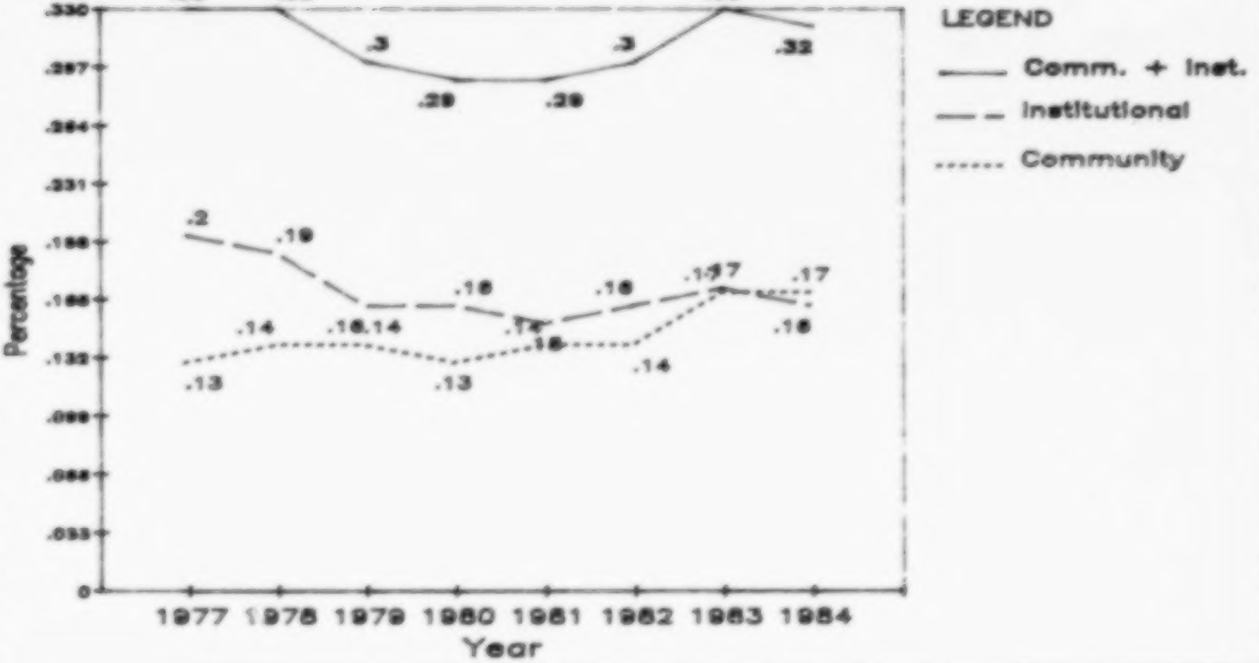


Total Community Funds: $73 Million

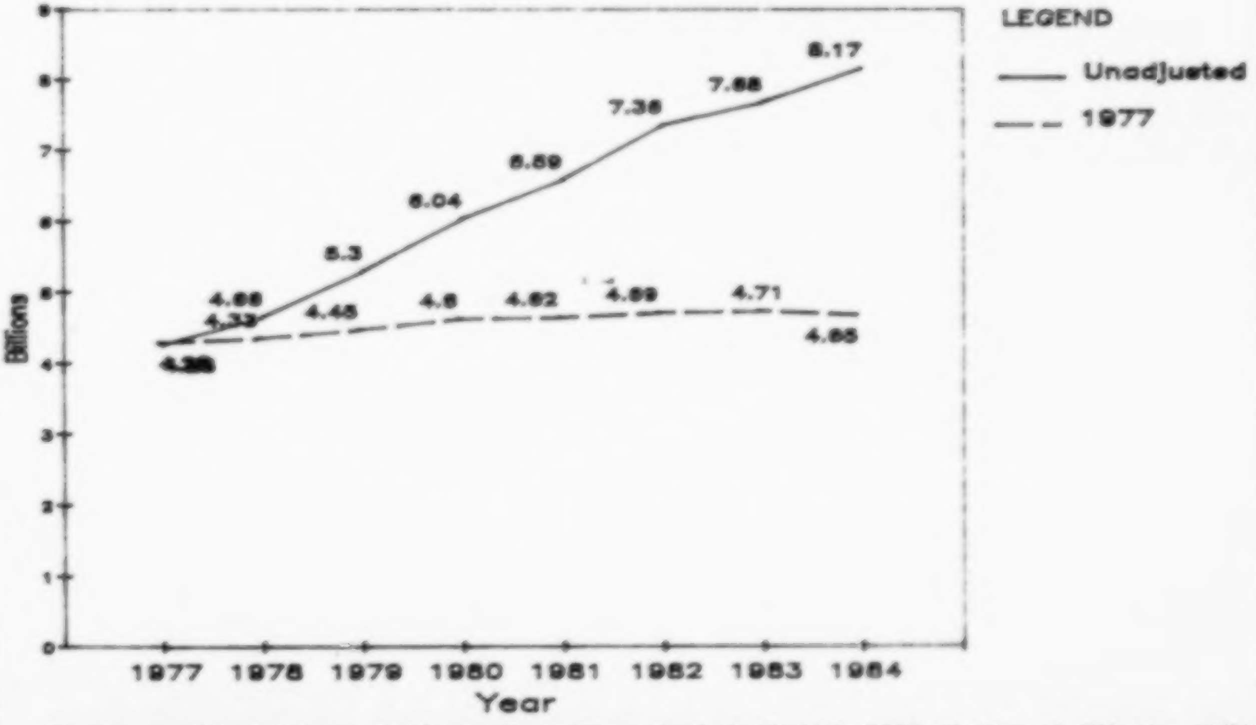
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



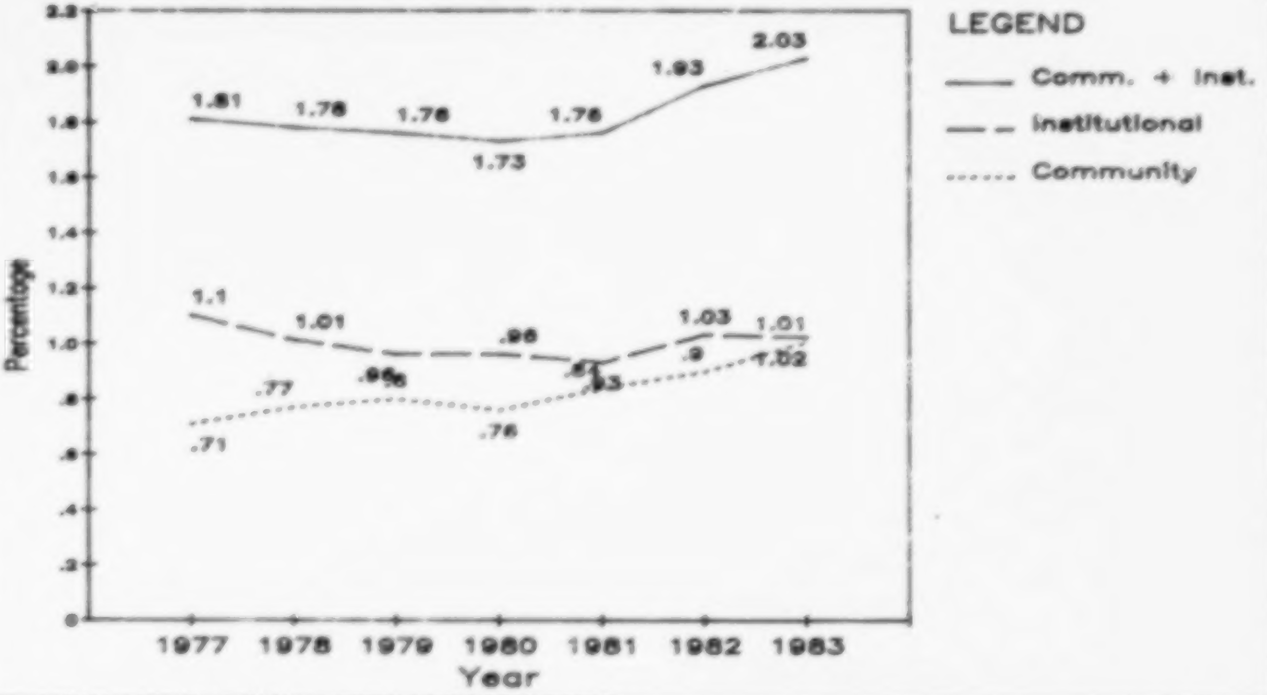
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



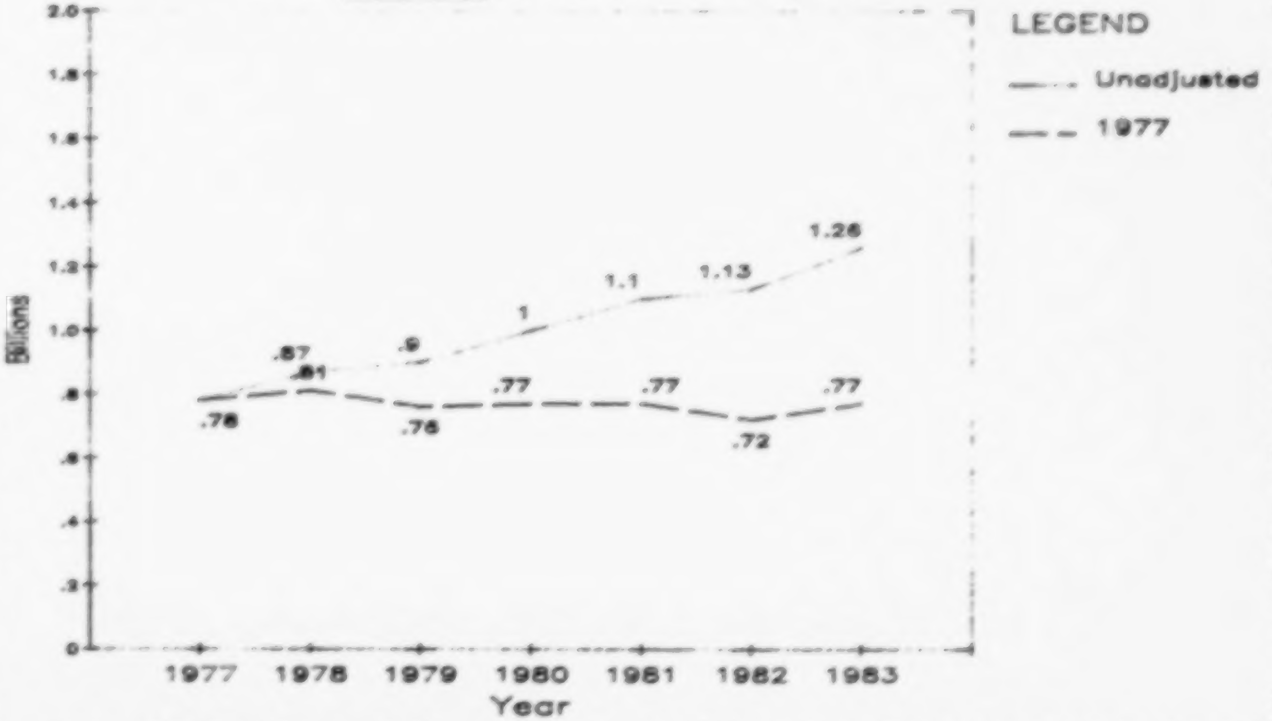
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA

Relative Growth of MR/DD Expenditures for *Institutional & Community* Services as a Percentage of the Total State Budget: FY 1977–1983



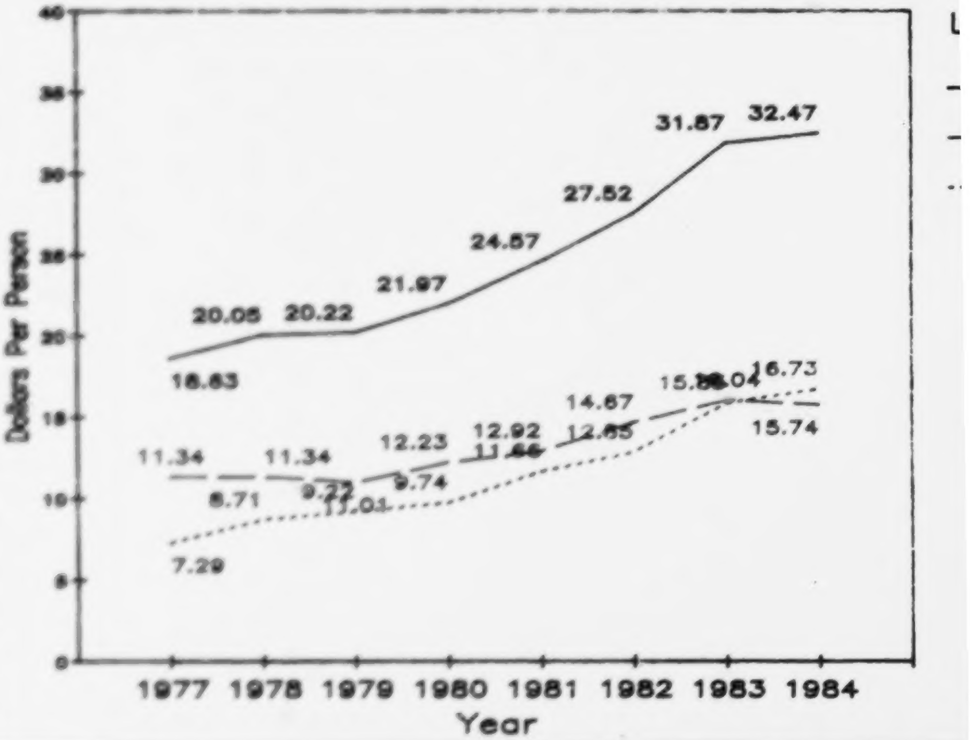
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



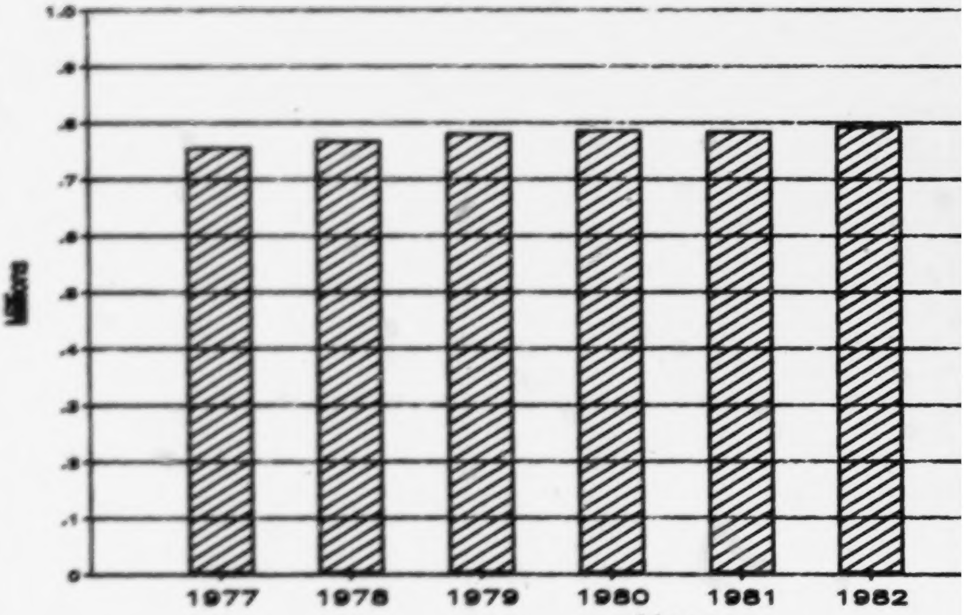
Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA

MR/DD *Institutional* and *Communit* Expenditures Per Resident of the General Population: FY 1977–1



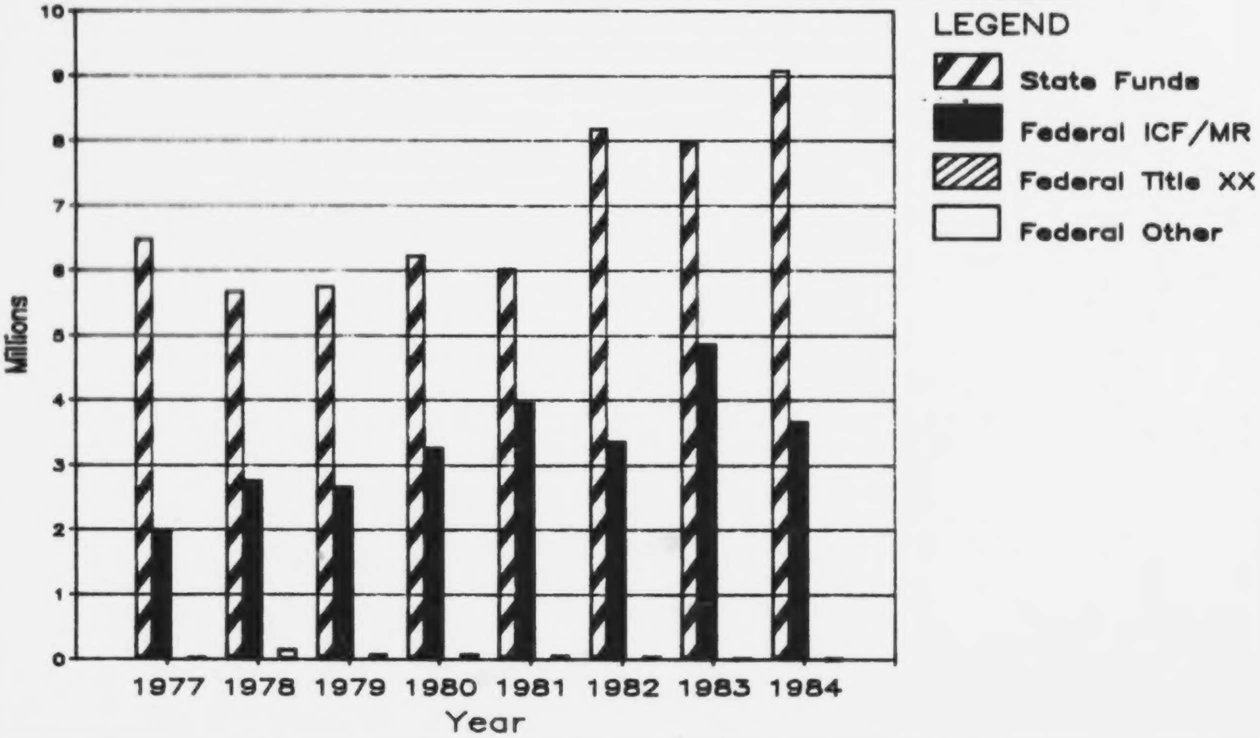
The Total State General Popu FY 1977–1984



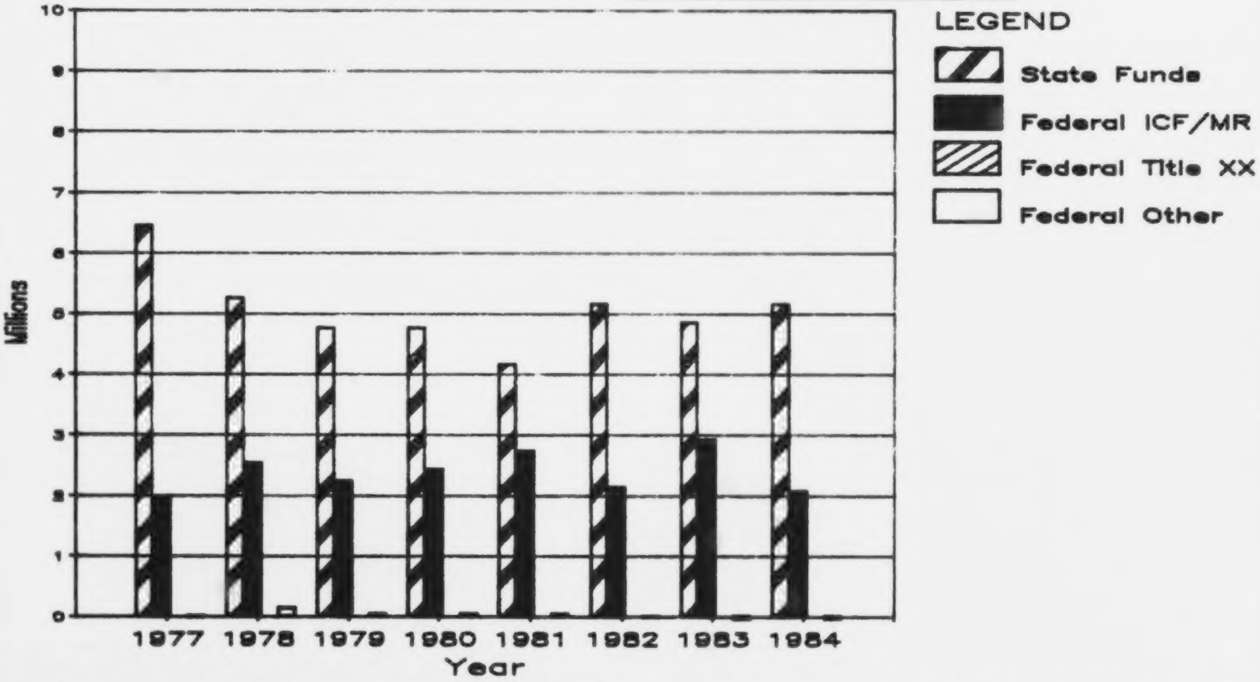
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U

MONTANA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

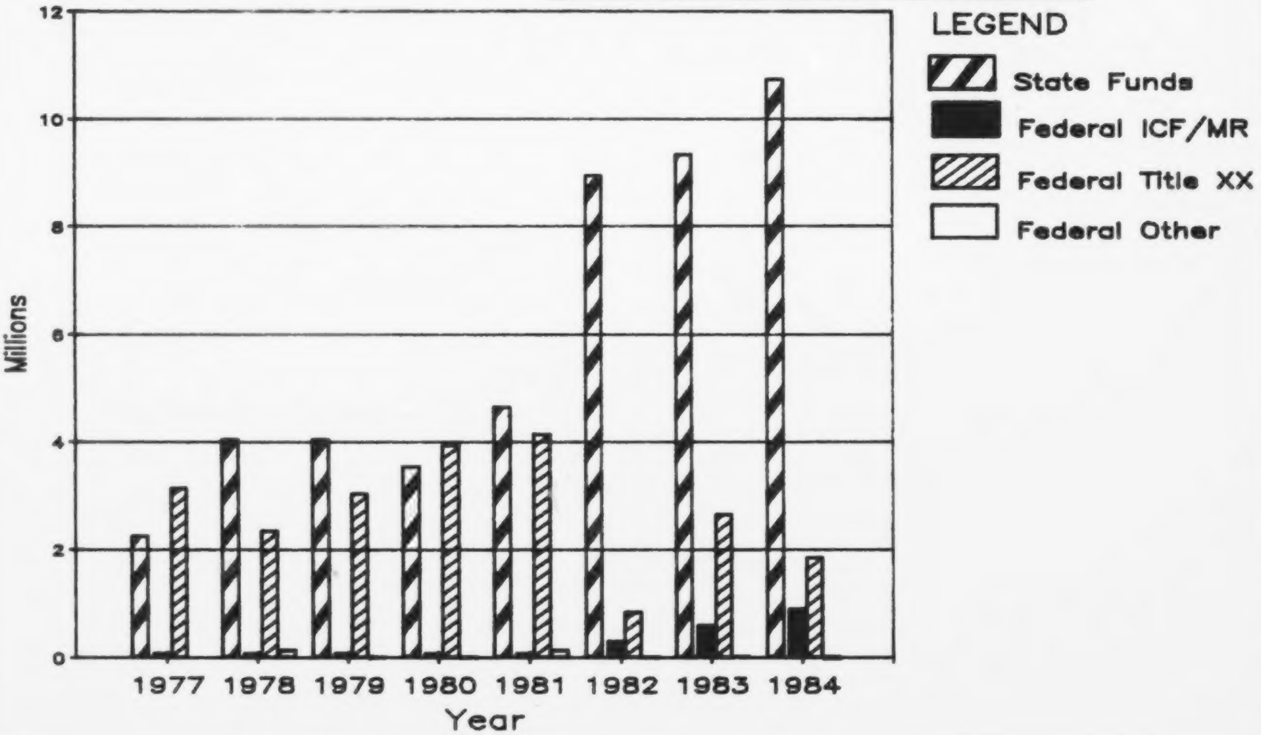


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

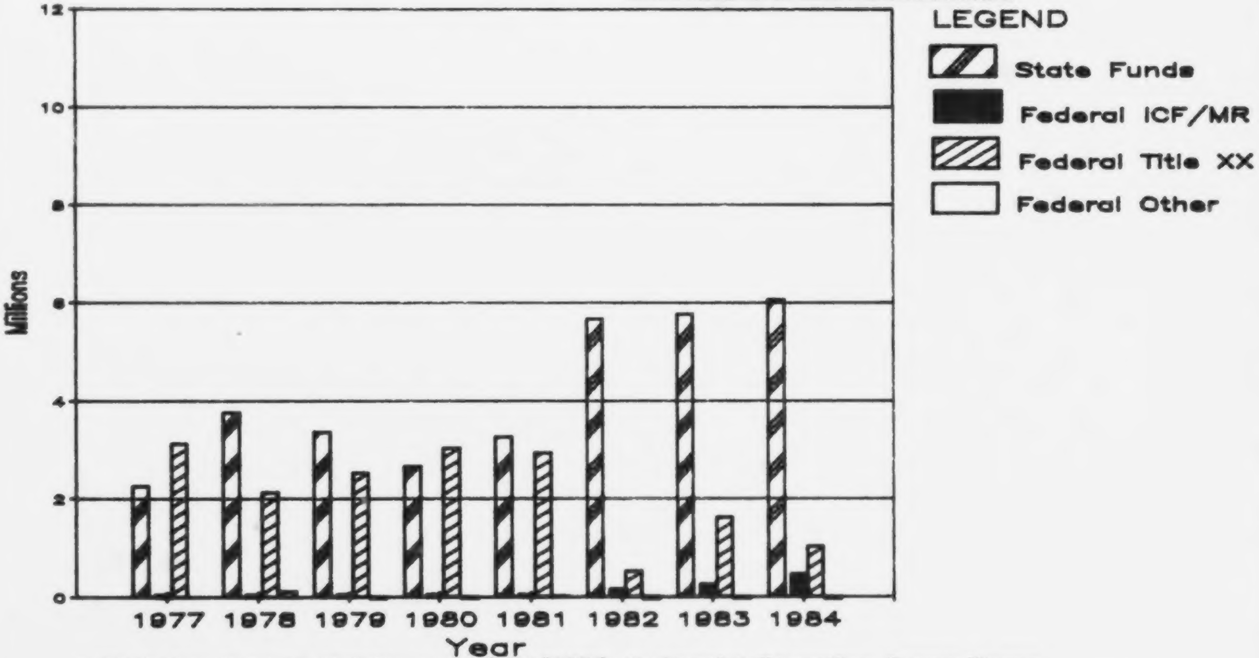
MONTANA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



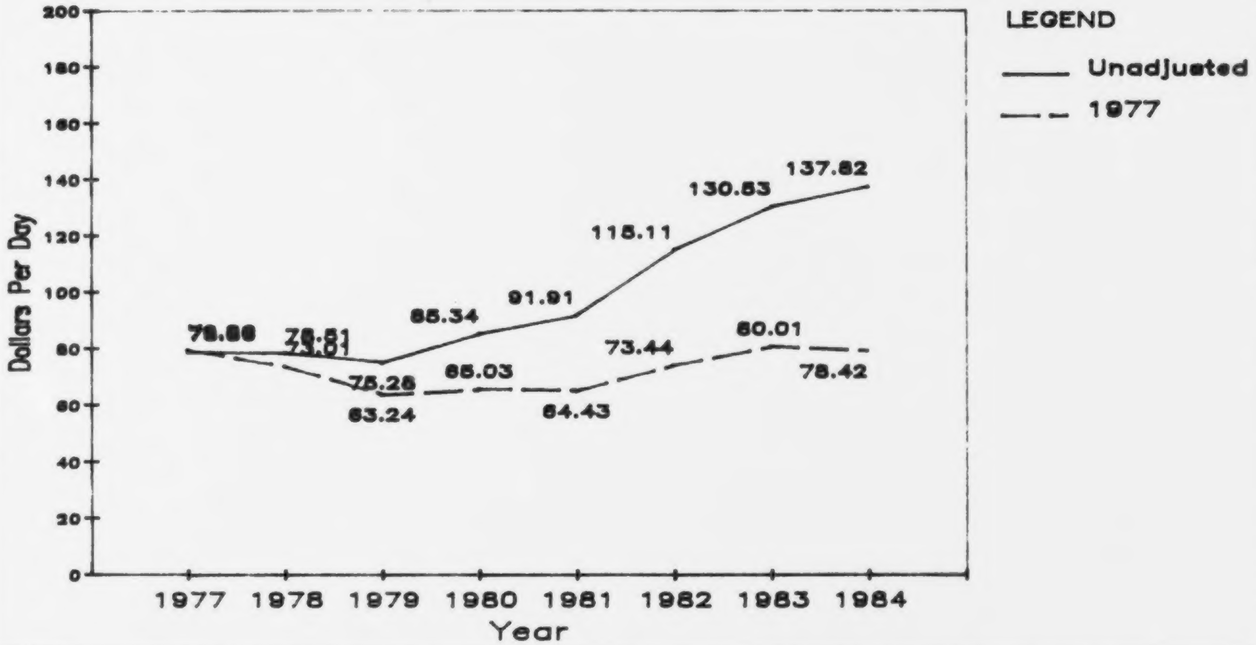
FY 1977–1984, *In 1977 Dollars*



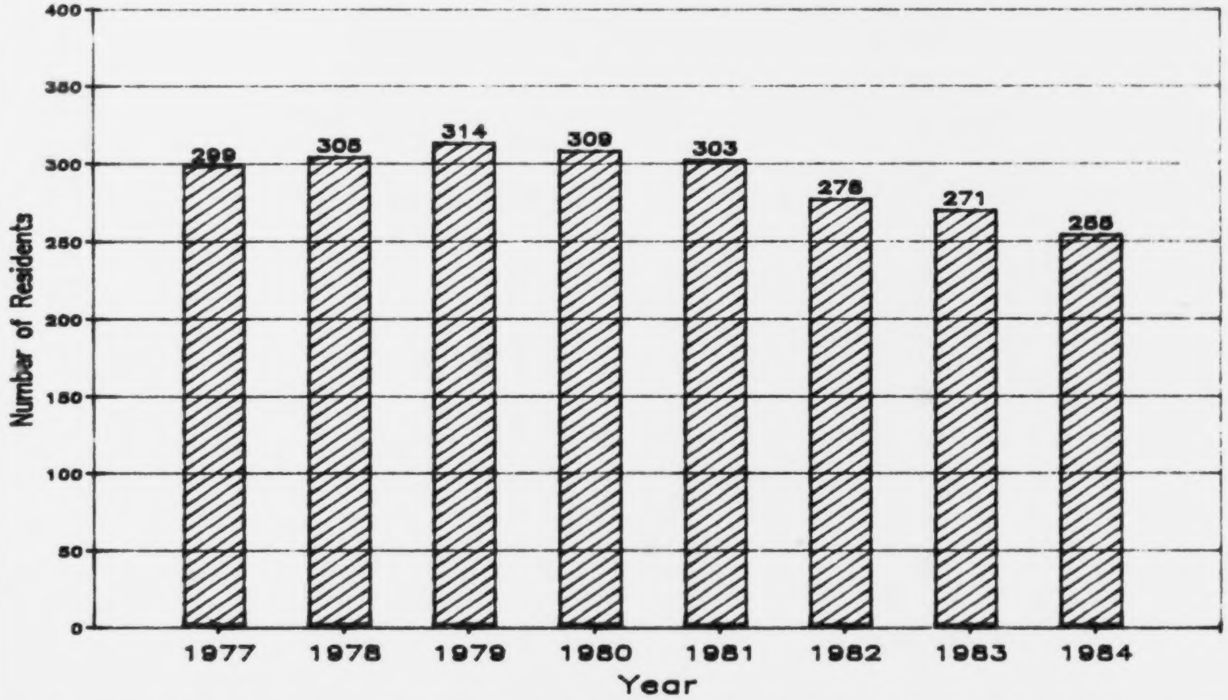
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

MONTANA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: In Montana, institutional services are administrated by the Mental Health and Residential Services Division in the Department of Institutions. Community services are managed by the Developmental Disabilities Program Office within the Department of Social and Rehabilitation Services (SRS).

2. Budget Format: The Montana State Budget for the Department of Institutions includes the following revenue categories.

Department of Institutions
  General Fund
  Earmarked Special (Revenue) Fund
  Federal and Private Special Fund
  Others (includes Proprietary Fund, Revolving Fund, Agency Fund, and Bond Proceeds and Insurance Fund)
    Boulder River School and Hospital
      [Same funding categories]
    Eastmont Training Center
      [Same funding categories]

The Department of Social and Rehabilitation Services (which administers the MR/DD Community Services program) organizes its budget with the same revenue source categories listed above for the Department of Institutions. Major operating entities relevant to MR/DD are:

Central Office
DD Program Office
DD Council

3. Note on Data Sources: Montana has a biennial budget. Actual expenditure figures for Fiscal Years 1978, '80, and '82 were obtained from the 1981, '83, and '85 Biennial Executive Budgets. Since the biennial budgets provided only "estimated" figures for the alternate years, actual expenditures for FY 77, '79, '81, and '83 were obtained from another source-the Agency Program Cost Reports. These reports were obtained from Kathy Traviano, Accounting Division, Department of Administration (correspondence, 9/8/83). Appropriation figures for FY `84 are from the FY `85 State Appropriation Report.

II. INSTITUTIONAL SERVICES

4. Institutional Services include expenditures for two state institutions: Boulder River School and Hospital, and Eastmont Human Services Center. The combined average daily population at these two facilities has been:

FY	Average Daily Population	FY	Average Daily Population
77	299	81	303
78	305	82	278
79	314	83	271
80	309	84	255

(Figures provided by Jerry Hoover, Department of Institutions, telephone interview, 5/23/84.)

5. Other State Funds are almost entirely resident private pay and insurance receipts, and revenue from the revolving canteen account. These funds are labeled "Federal and Private Special Revenue Fund" in the Executive

Budget. However, there could be some (less than 10%) federal dollars in this line also, according to Paul Vendetti, MH and Residential Services Division (telephone interview, 9/15/83). According to Vendetti, it would be very difficult to identify exact amounts and, since they would be very small, further analysis was not attempted.

6. Title XIX. In Montana, Federal Title XIX revenue flows directly into the General Treasury. It is not displayed as a distinct revenue source in the institutional budgets. Federal Title XIX revenue earned by the two institutions has been subtracted from the General Fund line each year and displayed separately in this analysis. Title XIX revenue figures were provided by Jerry Hoover, Administrator, Mental Health and Residential Services Division, Department of Institutions.

7. Other Federal Funds are ESEA Title I. Figures were provided by Mr. Hoover (letter, 8/30/83).

III. COMMUNITY SERVICES

8. Community Services include the "Developmental Disabilities Program" and the "Developmentally Disabled Planning and Advisory Council," both of which are under the Department of Social and Rehabilitation Services.

9. State General Fund The figures for the DD Program which are reported in the Executive Budget include central office administration as well as community day and residential programs. To exclude administration, as was done with other state budgets in our analysis, the Program Cost Analysis Reports had to be used as the source document for each year's expenditures. In the Cost Reports, the lines for "personnel," "operating expenses," and "equipment" were deducted from the total General Fund (GF) line each year under the DD Program, per instructions from Jim Delsigne, Fiscal Officer, DD Division (telephone, 8/29/83). These three lines represented the central office administrative costs.

10. Title XIX Federal Title XIX funds are included in the Executive Budget under "Federal and Private Grant Clearance Fund," combined with Title XX funds. Actual Title XIX figures were provided by Ben Johns, Deputy Director, Department of SRS (telephone, 10/11/83). All Title XIX funds are part of the Medicaid Waiver under which expenditures began in November, 1982.

11. Title XX Funds (now Social Services Block Grant funds) are distributed into two different fund categories in the Budget: the "Federal and Private Special Revenue Fund" and the "Federal and Private Grant Clearance Fund." According to Ben Johns (telephone, 10/11/83), the reason for this is so that the State Legislature can exert more control over the expenditures. Most of the Title XX funds go into the "Grant Clearance Fund" which means the DD Division has control over its use. However, part (10-20%) of the funds are placed in the "Special Revenue Fund" over which the Legislature has control. Since it is used primarily for personnel, the Legislature has considerable control over Departmental staff size. According to Johns, about half of the FY ‘84 appropriation figure for Social Services Block Grant funds is actually Low Income Energy Assistance Block Grant Funds. The law allows a 10% transfer between these two block grants.

    The significant drop in Title XX funds in FY ‘82 is due to the fact that the Block Grant is paid on a quarterly basis (Title XX was a lump sum). The last quarter of the federal fiscal year extends three months beyond the state fiscal year, so Montana got only 3 quarters of Block Grant dollars in the state's FY ‘82 budget. In addition, federal funds were cut by 25% under the Block Grant, also accounting for the drop, according to Mr. Johns (telephone, 10/11/83).

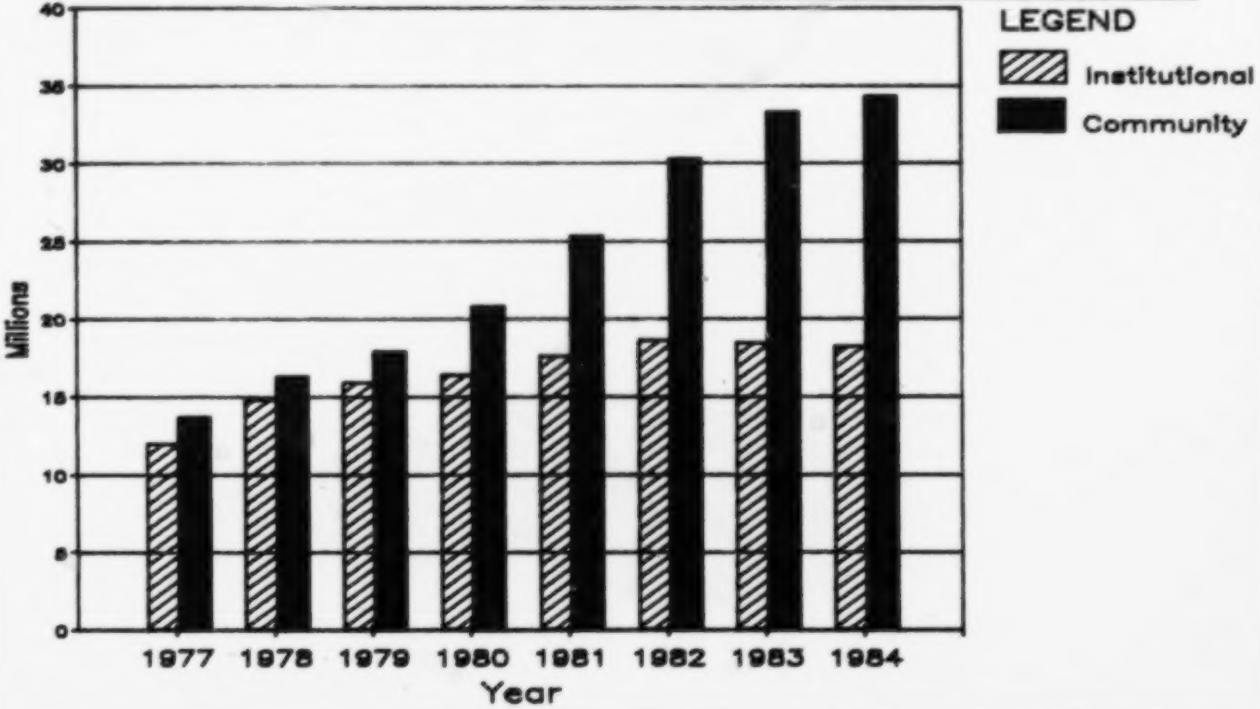
12. Other Federal Funds are DD Council funds.

13. Private ICF/MR. According to Jack Ellery, Division of Economic Assistance, Department of SRS (PC, telephone, 8/25/83), there are only two private ICF/MRs. He estimates that the two facilities together expend about $150,000 per year, and said exact figures would be difficult

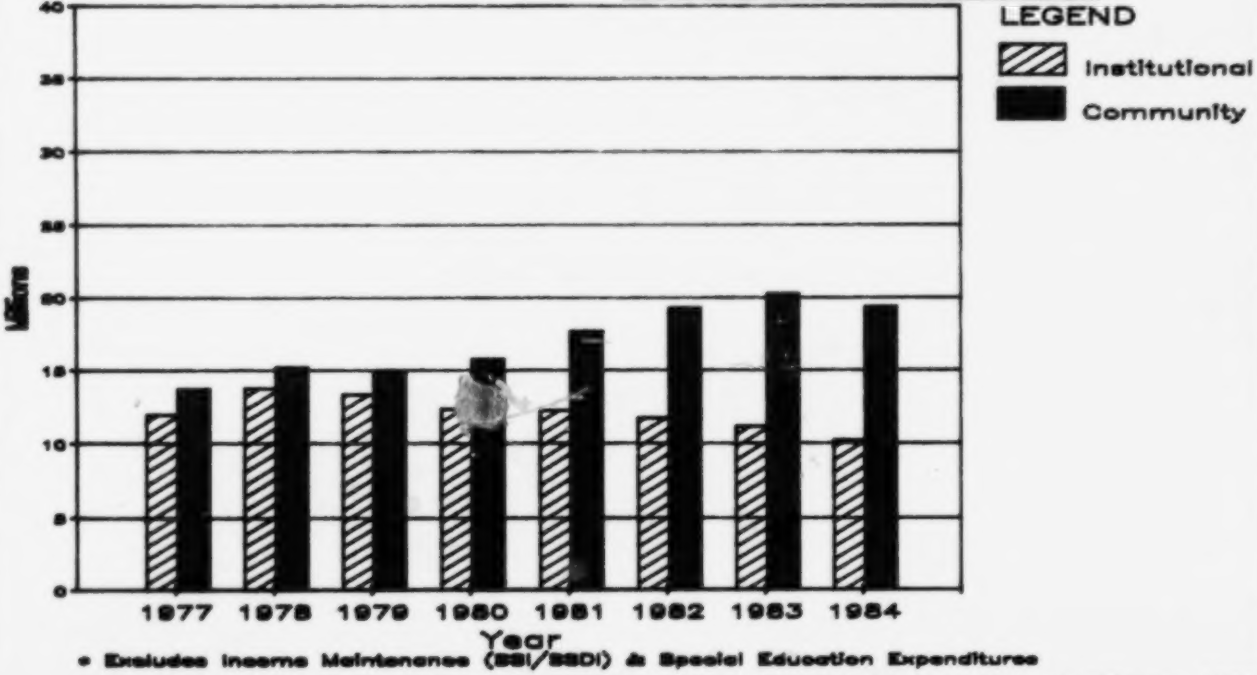
to retrieve for such small programs. One facility is an MR component (six beds) in a private nursing home. It opened in 1980 and is still operating. The other is an eight-bed facility. Since 1982, it has been included in the DD Program budget as part of a Medicaid Waiver. The facility was going to close, so the state assumed control and converted it to a group home under a limited Medicaid Waiver. Therefore, there are no expenditures for this facility from 1977-`81. Sums for funding these two facilities included in our analysis are estimates based on the $150,000 figure, adjusted for inflation, and for the fact that from `77-`79 the eight-bed facility (only) was operational; and from `82-`84, the six-bed facility (only) was operational.

NEBRASKA
STATE PROFILE

NEBRASKA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

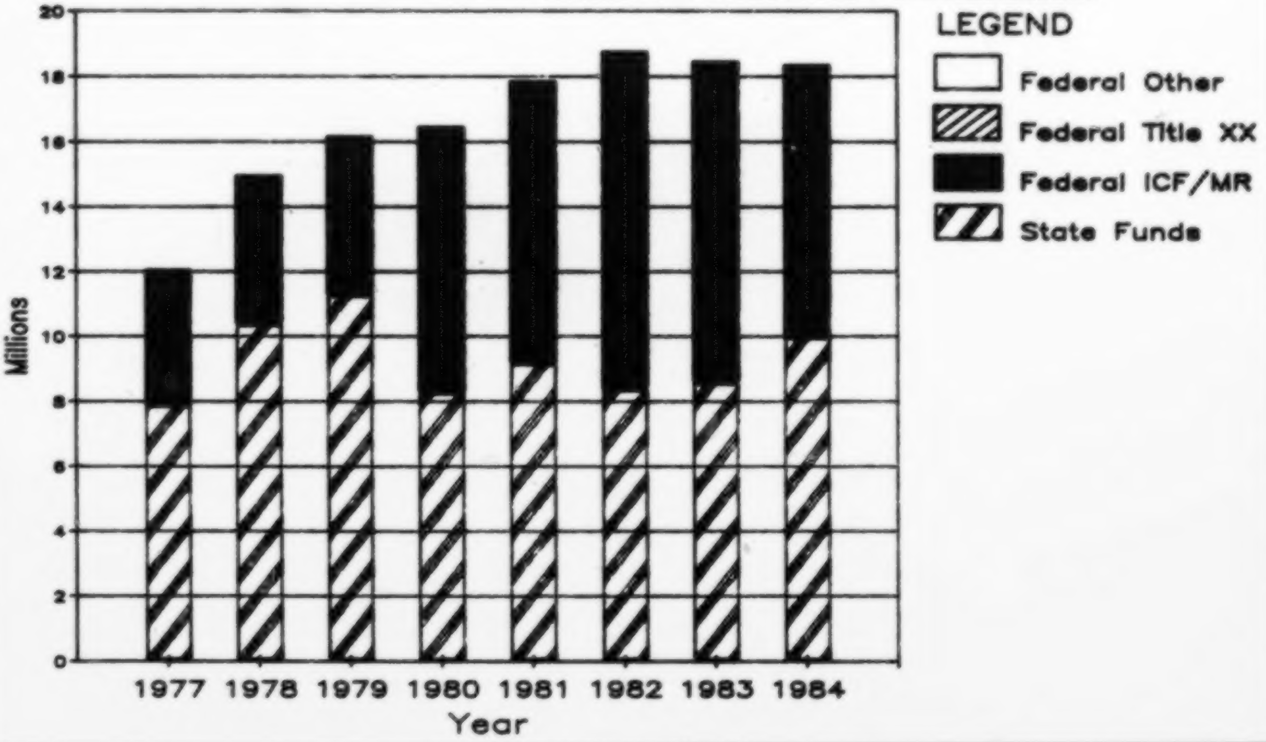


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

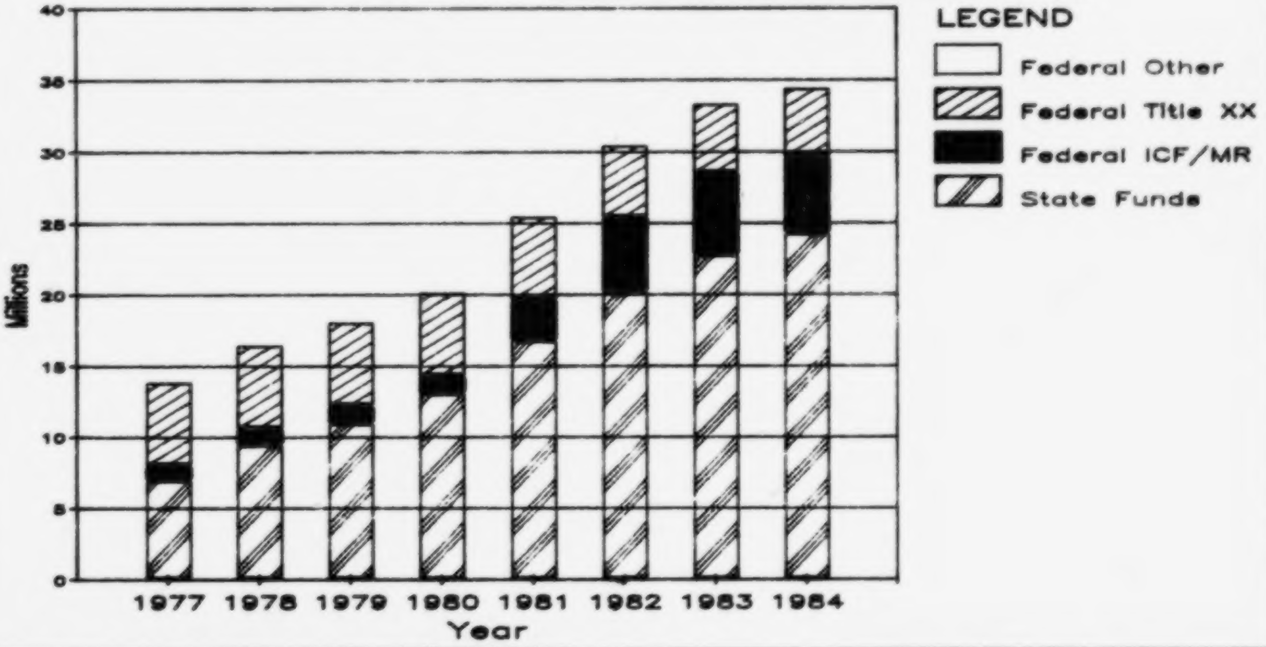
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA

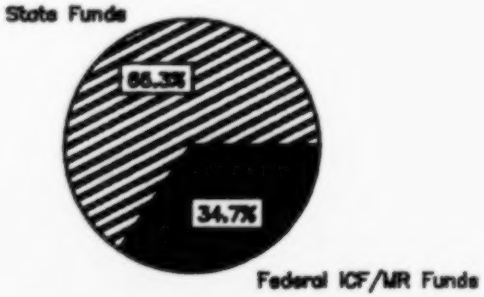
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



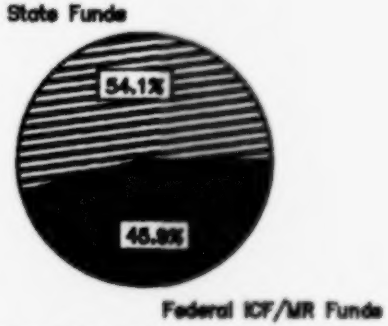
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



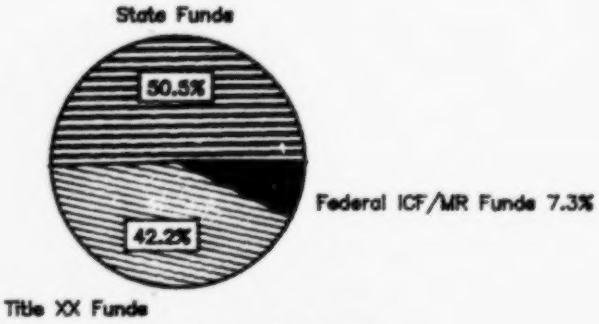
NEBRASKA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



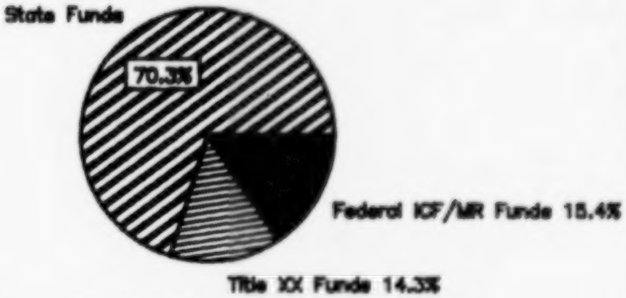
Institutional: 1977 Total Funds—$12.2 Million



Institutional: 1984 Total Funds—$18.4 Million



Community: 1977 Total Funds—$13.9 Million

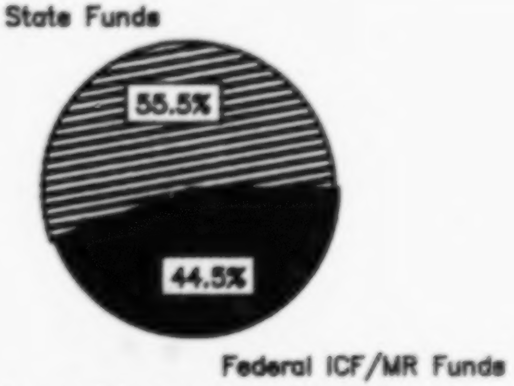


Community: 1984 Total Funds—$34.5 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

NEBRASKA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

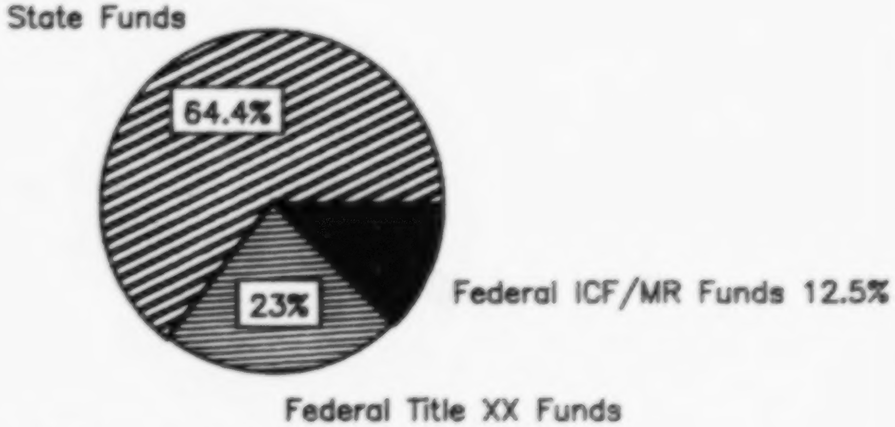
Institutional Services Funds



Total Institutional Dollars: $133 Million

Community Services Funds

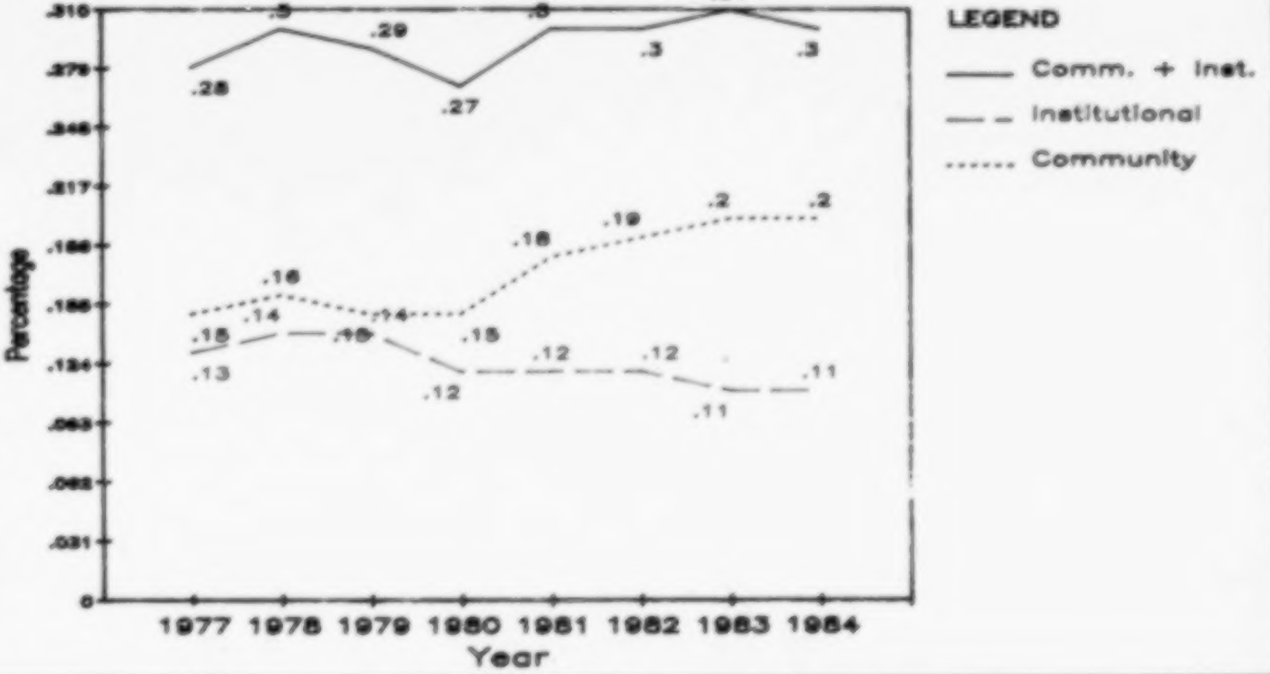
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



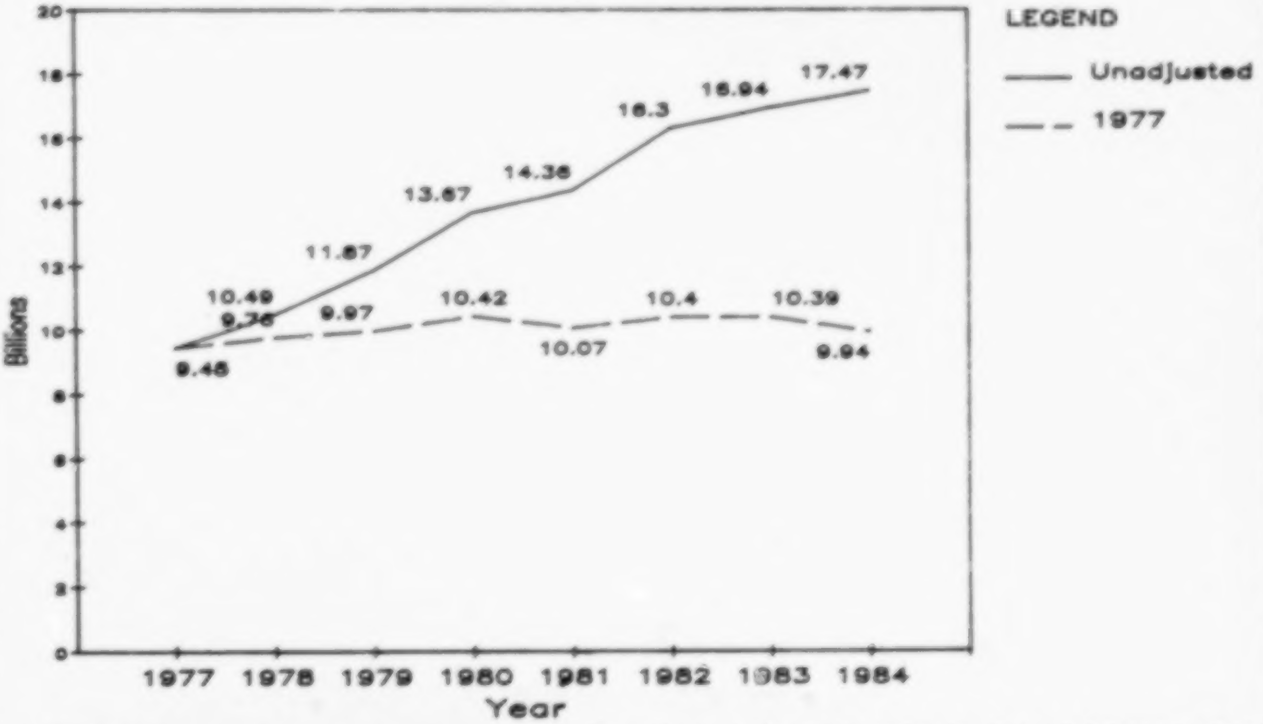
Total Community Dollars: $194 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



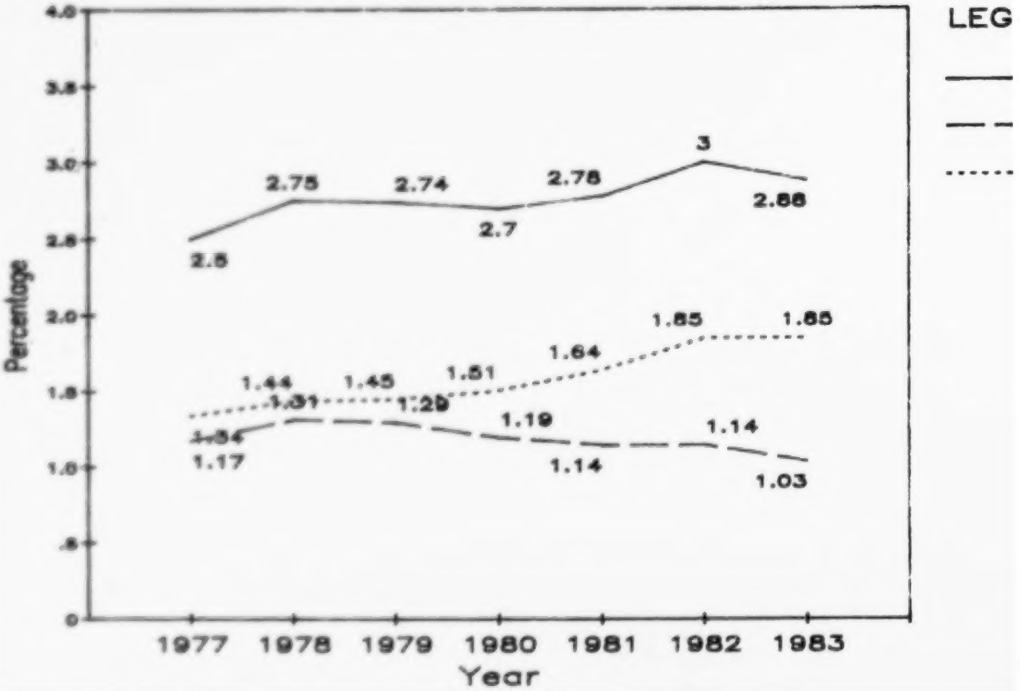
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



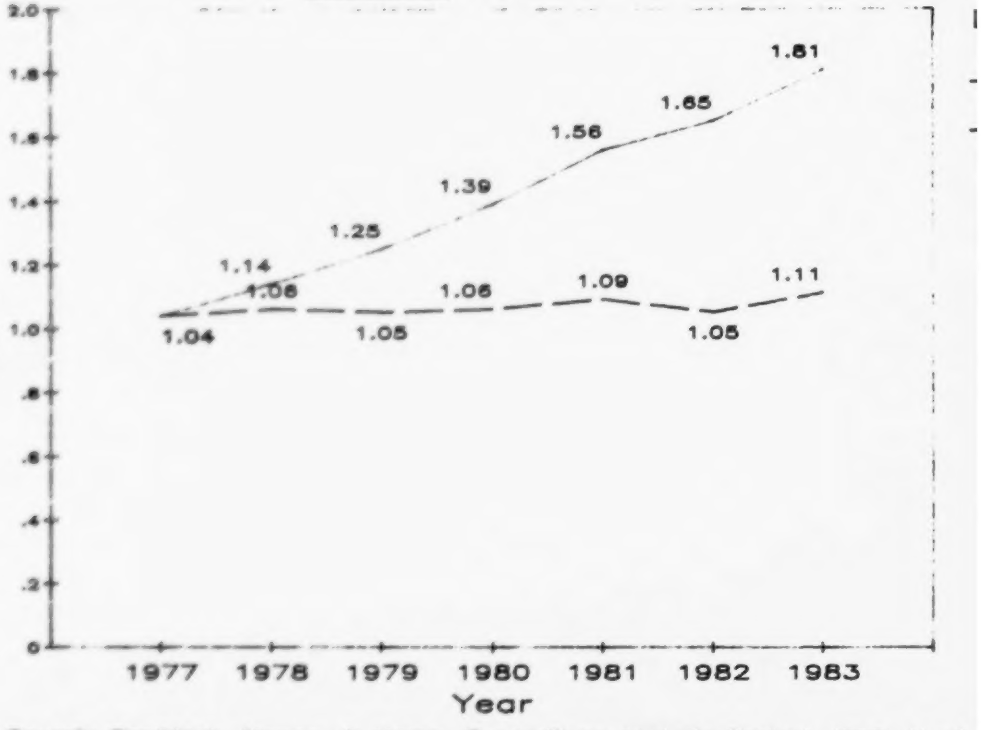
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA

Relative Growth of MR/DD Expenditures for *Insti* & *Community* Services as a Percentage of the T Budget: FY 1977–1983



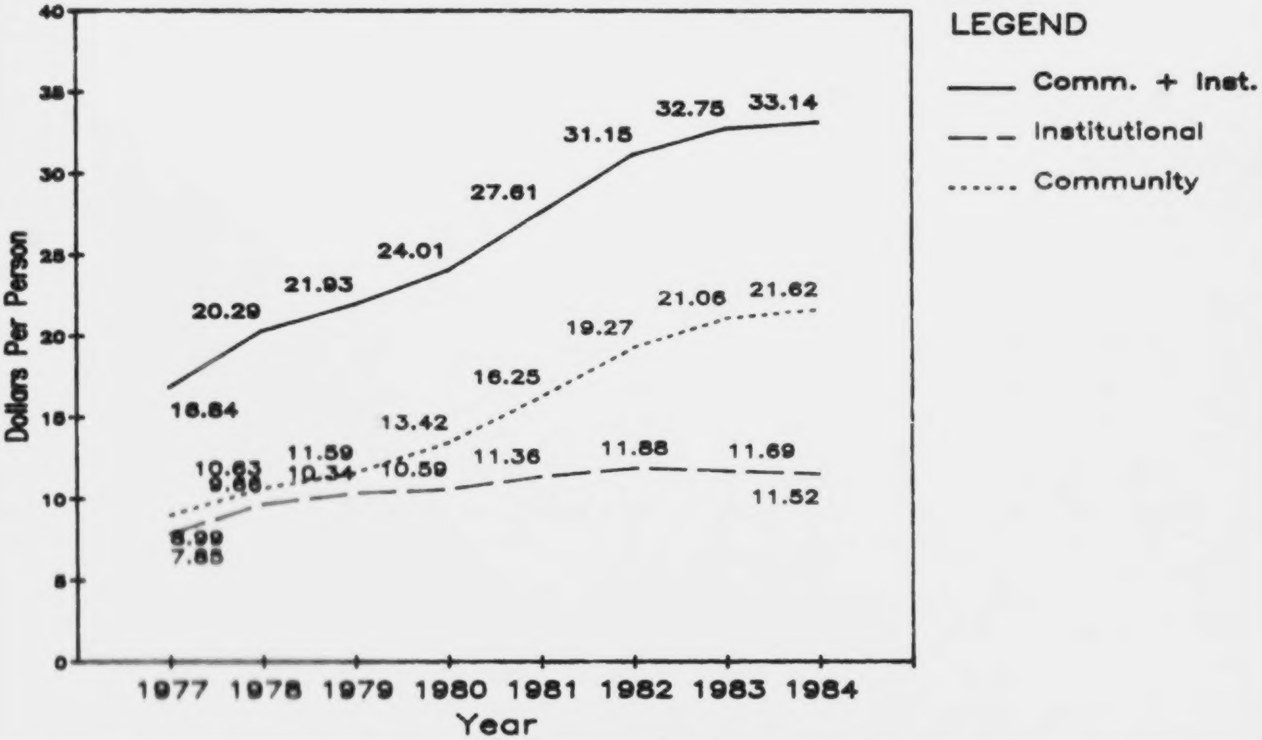
The Total State Budget Expressed in *Una* and *1977* Dollars: FY 1977--1983



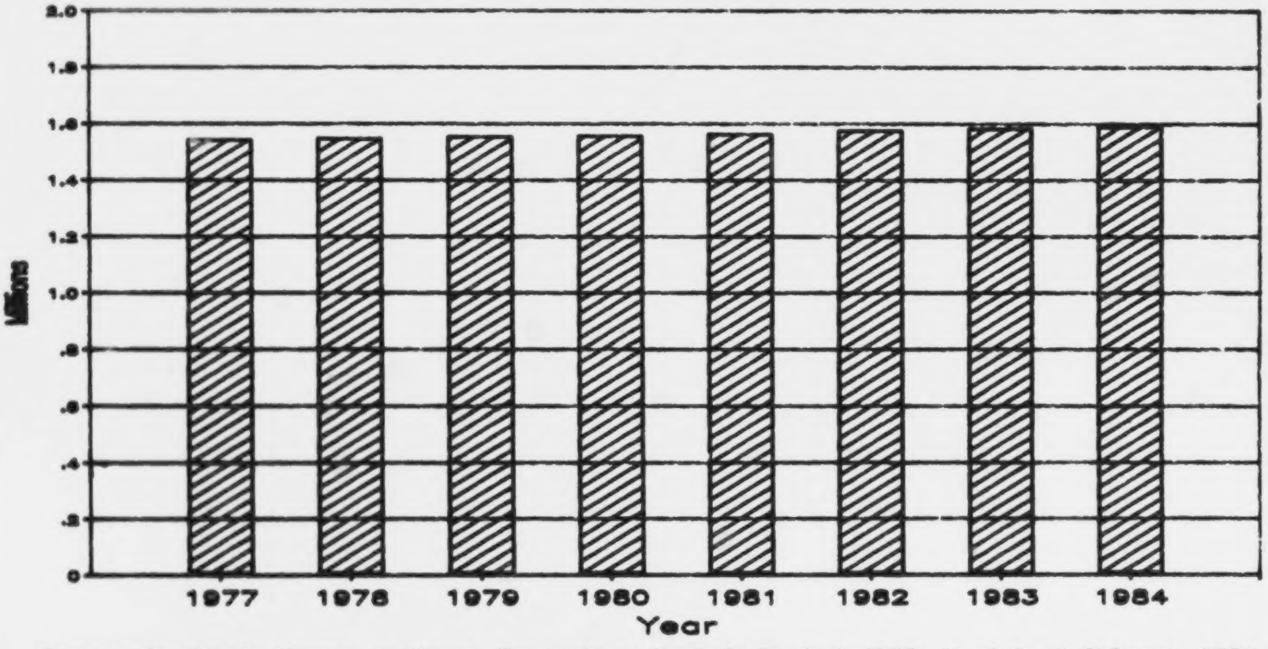
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of

NEBRASKA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984

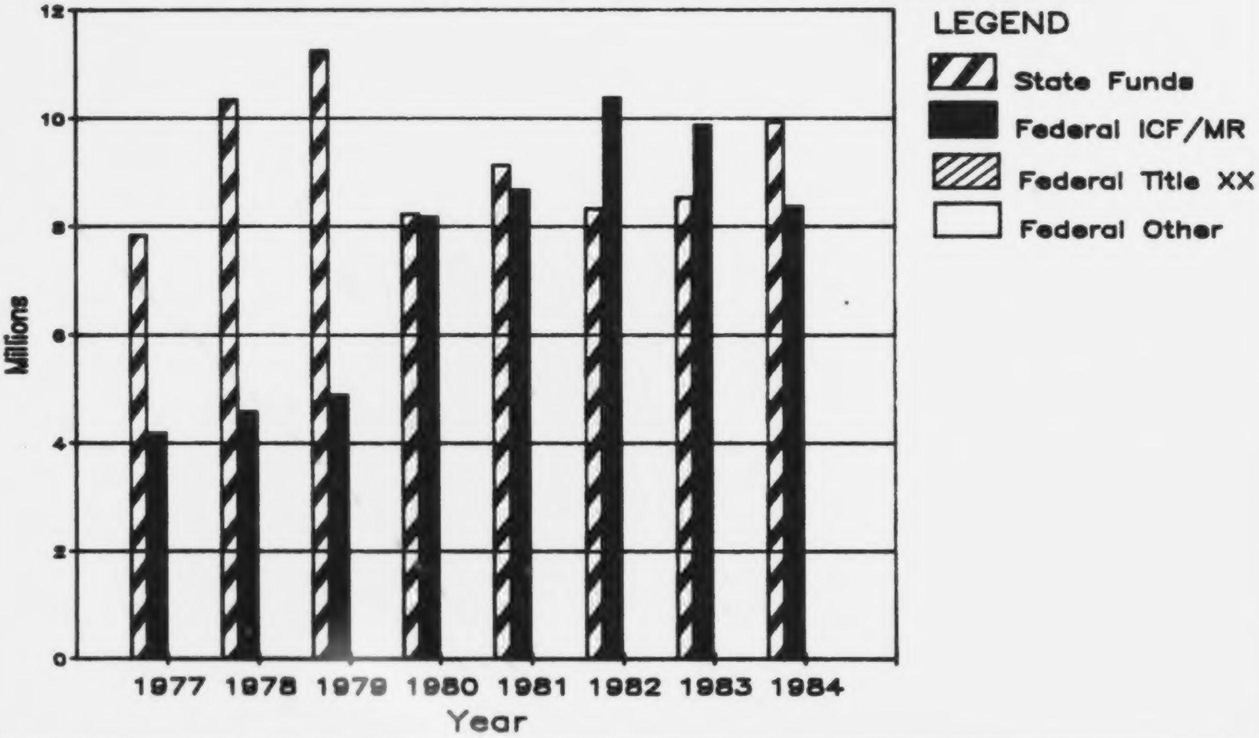


The Total State General Population FY 1977–1984

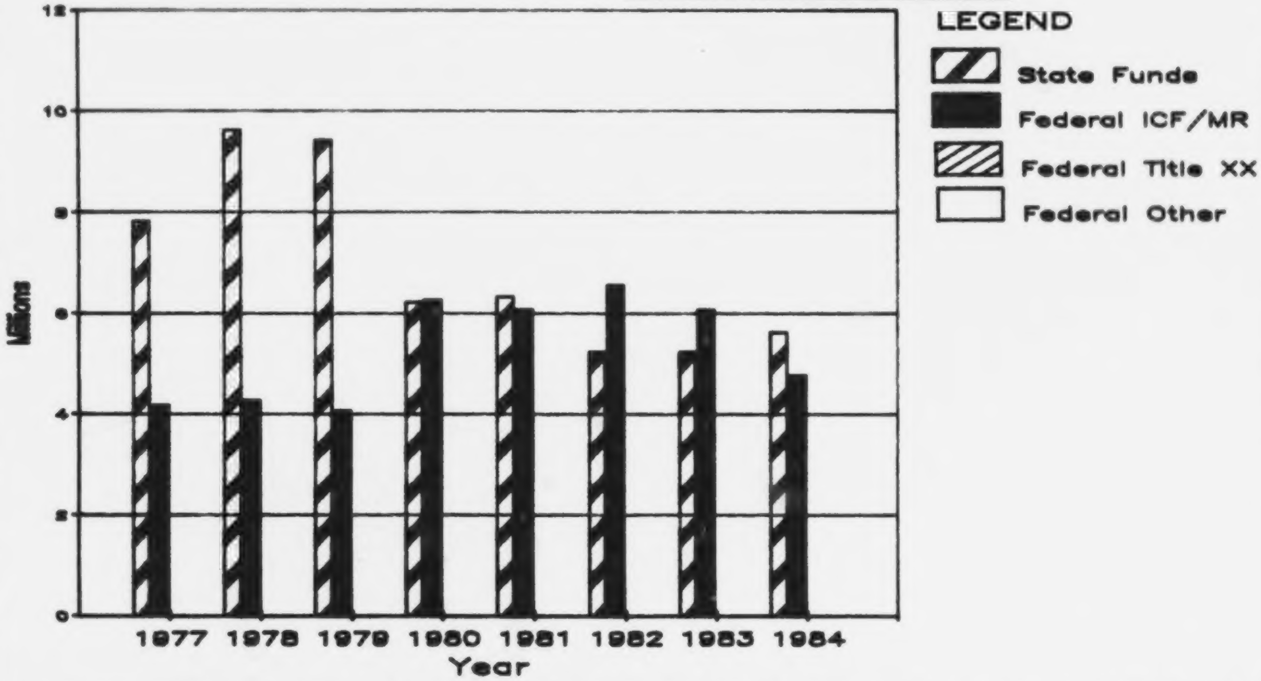


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

NEBRASKA
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

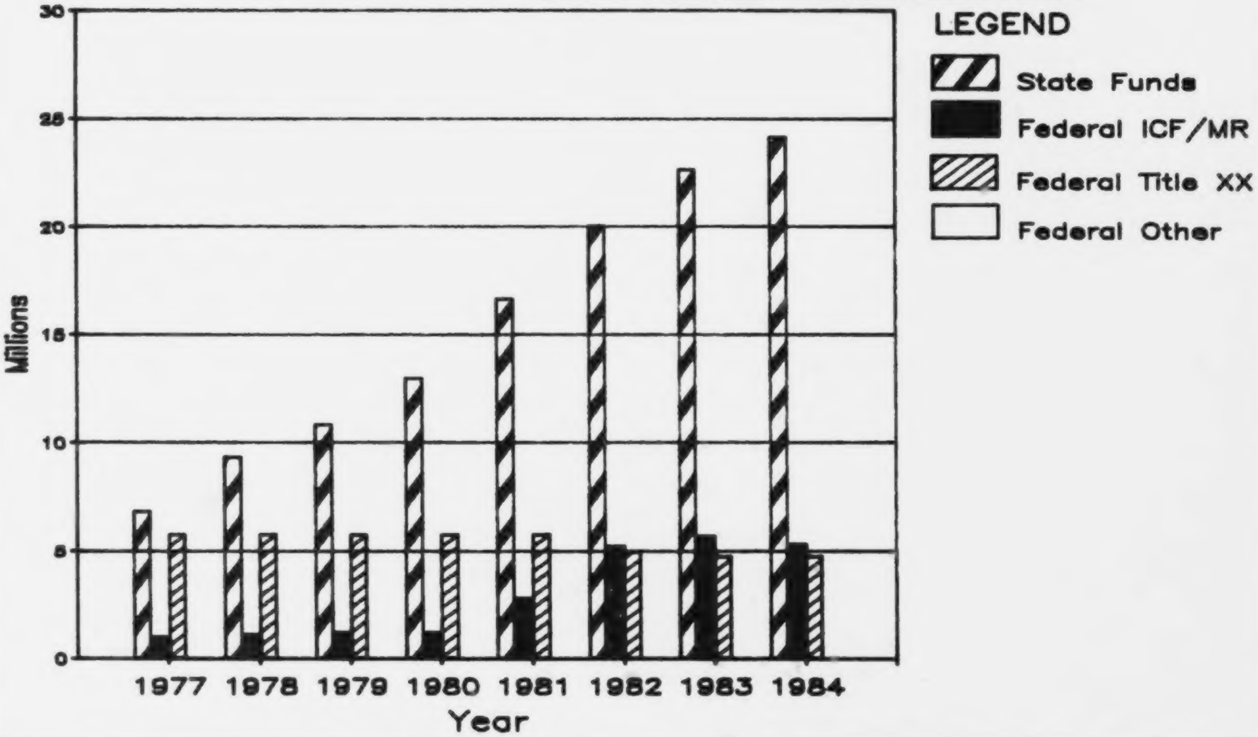


FY 1977–1984, *In 1977 Dollars*

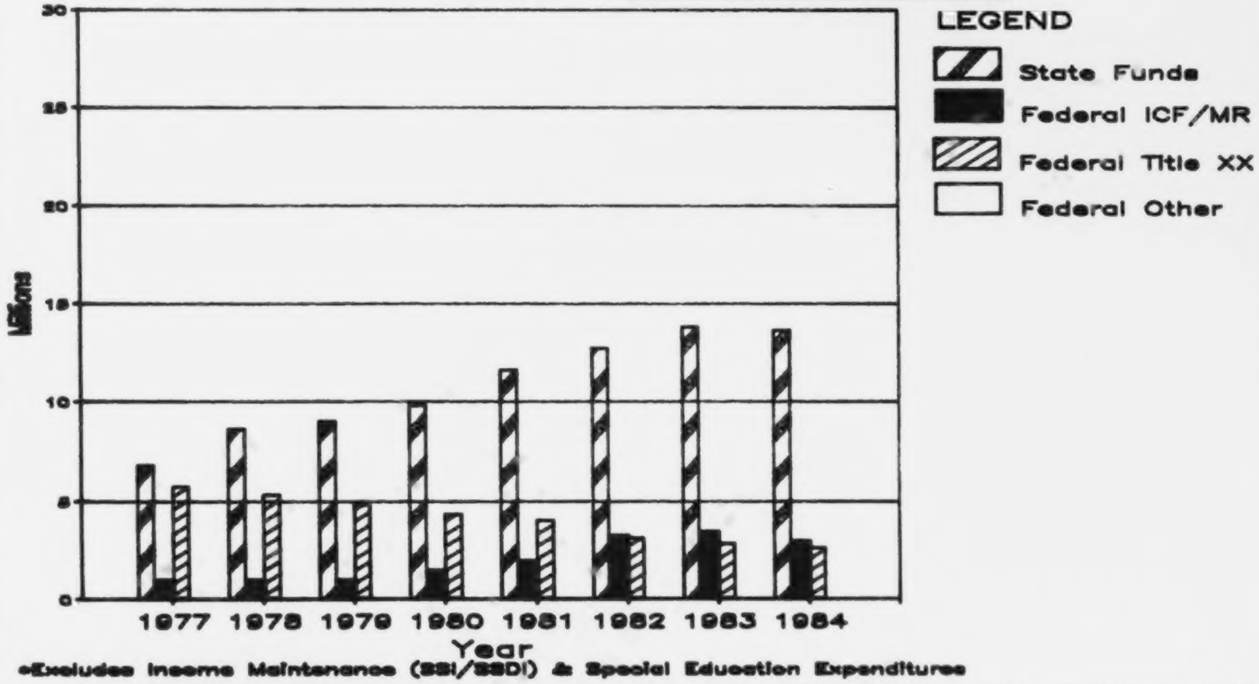


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA
MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



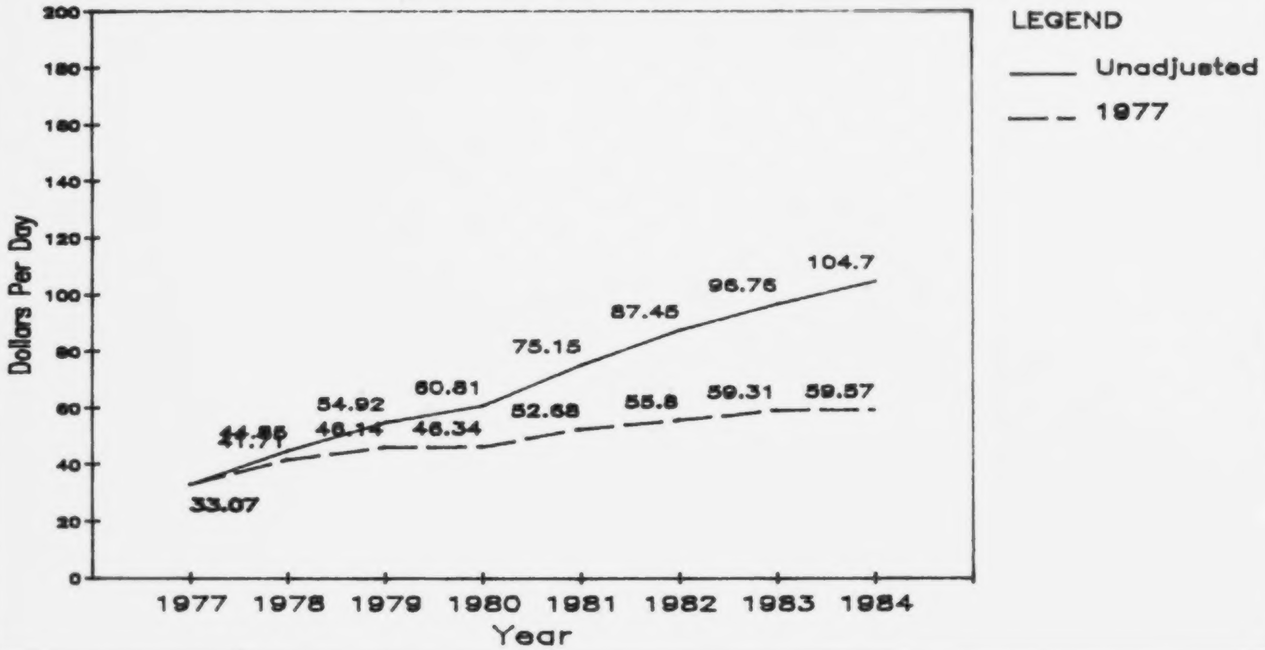
FY 1977–1984, *In 1977 Dollars*



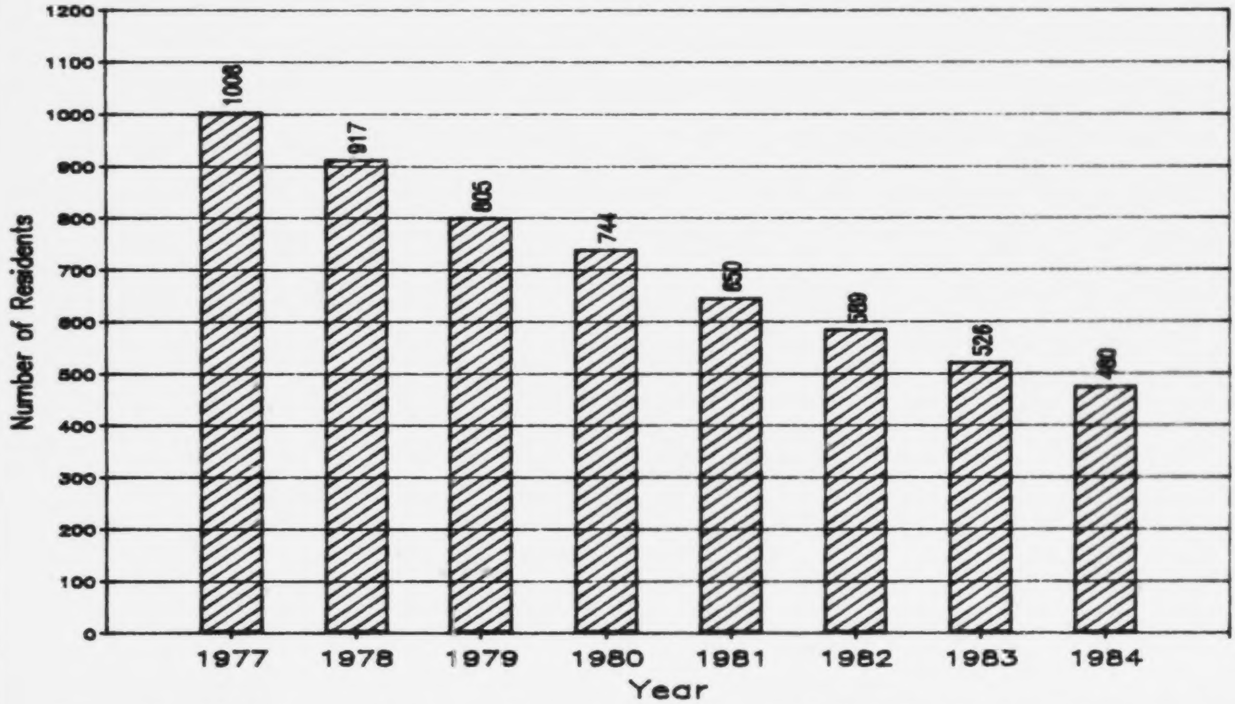
*Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEBRASKA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Institutional and community services for the mentally retarded and developmentally disabled citizens of Nebraska are managed by the Department of Public Institutions. The Department is responsible for institutional services at Beatrice State Home and at MR Units at Hastings and Lincoln Mental Health Institutions. The Department also has an Office of Mental Retardation, which oversees community services operations.

2. Budget Format: Nebraska's budget format is structured as follows:

- Department of Public Institutions
  - Mental Care - Hastings Institution
  - Mental Care - Lincoln Regional Institution
  - Beatrice State Home
  - MR Office - Community
  - Department of Institutions Central Office

[And, for each of these program units, the following fund breakdown:]

- General Fund
- Federal Fund
- Cash Fund

3. Note on Data Sources: Nebraska Executive Budget documents were reviewed for the FY `79-`81; and `82-`84 Biennia and the Executive Budget for FY `84 was reviewed. They provided "actual" expenditures for FY `77, `78, `80, `81 and `82; an "estimated expenditure" for FY `79, an "appropriation" for FY `83; and "Governor's Recommendation" for FY `84 (subsequently updated). In order to clarify Title XIX revenue and Title XX revenue, we contacted Mr. James Hanlon, Financial Aid Administrator, Office of MR, Department of Public Institutions.

Hanlon, in a 9/14/83 telephone interview, provided Beatrice and Community Services expenditure figures, which he categorized as "actual" FY `77 -`82; "un-audited" FY `83 and "appropriated" FY `84. He indicated that the figures did not include capital expenditures, and that the Federal Funds he reported for Beatrice were almost exclusively Title XIX ICF/MR monies. The fund sources he reported (and our reclassification for the analysis) are:

Beatrice State Home:	
"State General Fund".	Institutional Services General Fund
"Federal"	Title XIX
"Cash Funds (client payments, county charges)"	Other State Funds
Community Services:	
"State General Fund".	Community Services General Funds
"Title XX Federal"	Title XX
"County Funds"	Other State Funds
"Other (local non-tax source, SSI,etc.)".	[excluded from the Analysis]

The "Other" category reported above for Community Services, from local non-tax sources, is excluded from the current analysis consistent with the Expenditure Analysis Project's general definitions.

Note: Hanlon indicated that the expenditure figures he provided did not include MR Units at the two Mental Institutions (Hastings - 12 beds; Lincoln -20 beds), and these expenditures were obtained from a different source--see Note 4 below.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the expenditures for Beatrice State Home and for MR Units at the Hastings, Lincoln and Norfolk Mental Institutions (Norfolk operational only in FY `77 and July of FY `78).

The aggregated average daily population figures for Beatrice and these three MR/DD units are:

FY 1977 - 1,008
FY 1978 - 917
FY 1979 805
FY 1980 - 744
FY 1981 - 650
FY 1982 - 589
FY 1983 - 526
FY 1984 - 480

(Source: Dale Darling, Department of Public Institutions, telephone interview, 6/14/84.)

Hanlon (Note 3 above) had reported Beatrice expenditure figures. The following process was used to calculate the Lincoln/Hastings/Norfolk Units' expenditures:

a. 9/20/83 correspondence from Mary L. Steiner, Research Analyst, Division of Research and Statistics, Department of Public Welfare provided "Public" and "Private" ICF/MR figures for FY `80 -`84. For FY `77-`79, that correspondence provided total ICF/MR Payments and total Title XIX (Medicaid) settlements, for all classes of care (no public/private breakdown).

b. For FY `77-`79, Steiner's information was utilized to estimate ICF/MR settlements at 13.1% of total ICF/MR payments (based on the average of ICF/MR settlements as a percentage of total Title XIX payments, FY `80- `84). These settlement amounts were then added to Total ICF/MR payments for FY `77-`79.

c. The Public/Private ratios for FY `77-`79 were then imputed based on the FY `80 ratio provided in Steiner's correspondence.

d. State/County share ratios for the Private ICF/MR figures were apportioned for FY `77-`79, based on the FY `80 ratio that was indicated in Steiner's correspondence.

e. Federal Share, Public ICF/MR figures from Steiner's correspondence, and as extrapolated--Notes b and c--were entered in the electronic spreadsheet as Institutional Title XIX. The remainder of the federal revenue was entered as federal share Private ICF/MR funds.

f. Hanlon reported "Cash Funds," "county charge" and "client pays" for Beatrice. These figures are considered Institutional Services-Other State Funds in our analysis.

g. Mr. Dale Darling, Department of Public Institutions (6/15/84 phone interview), provided an update of Beatrice expenditures (modifying Hanlon's FY `81, `82 and `84 figures). Darling provided "patient days" for Beatrice and for the Hastings, Lincoln and Norfolk MR Units at Mental Health Centers.

h. Darling also provided per diem cost figures for Beatrice, and for the MR Units at Mental Health Facilities. These per diem costs included various cost allocations, such as administration and capital, which our analysis excludes (and which were excluded from the Beatrice expenditures also provided by Darling--see Note g above). However, Darling concurred with our decision to utilize the ratio between these higher Beatrice per diems and those of Hastings/Lincoln, and thus to calculate Hastings/Lincoln/Norfolk expenditures in proportion to Beatrice expenditures. The following steps illustrate how this was done, for a sample year (FY `80):

Step 1
Beatrice per diem: $82.00 (includes administration and capital cost allocations)

Step 2
Average of Hastings and Lincoln per diems: $144.00 (also includes cost allocations)

Step 3
Ratio of Beatrice per diem to Hastings/Lincoln per diem: .57

Step 4
Actual Beatrice per diem (excluding cost allocations): $58.63 (expenditure of $15,128,500 divided by 258,030 patient days)

Step 5
Calculated Hastings/Lincoln per diem, utilizing ratio: $102.86 ($58.63 divided by .57)

Step 6
Calculated FY `80 Expenditure for Hasting/Lincoln: $1,430,600 (38 beds X 366 days X $102.86 per diem).

Note: Norfolk was operational only in FY `77 with 23 "average daily residents" and in FY `78, with 3 "average daily residents." These patient days were added to those for Hastings/Lincoln, and the calculated Hastings/Lincoln per diem was utilized for Norfolk for these two years.

i. The Hastings/Lincoln/Norfolk MR Unit expenditures thus calculated for FY `77-FY`84 were added to the Beatrice expenditures (Note g above).

j. Steiner's "Public" ICF/MR Federal revenue figures (FY `77-`84; Note e above) were subtracted each year from the Beatrice/Hastings/Lincoln/Norfolk totals.

k. The remainder was apportioned to our analysis categories State General Fund and Other State Funds based on the ratios in each year's original figures that were provided by Hanlon (9/14/83) for Beatrice (see Note 3 above).

5. Other State Funds consist of "cash funds," "client pays" and "county charge." These are the Beatrice figures, and in addition, an estimated or apportioned amount for the Hastings/Lincoln/Norfolk MR Units--see Note 4, Step k above.

6. Title XIX consists of the "Federal Public ICF/MR-Medicaid Expenditures" reported in Steiner's 9/20/83 correspondence (and as extrapolated--see Note 4 above).

III. COMMUNITY SERVICES

7. Community Services. The expenditure totals and all fund sources were reported by Hanlon (see Note 3 above). However, Hanlon also had reported the following "other-local non-tax, SSI,etc." figures which are NOT included in our analysis at this time:

Funds Excluded
($ in Thousands)

1977	1978	1979	1980	1981	1982	1983	1984
$3,323.0	3,483.6	4,233.3	4,923.4	4,239.6	5,021.5	5,959.3	6,717.1

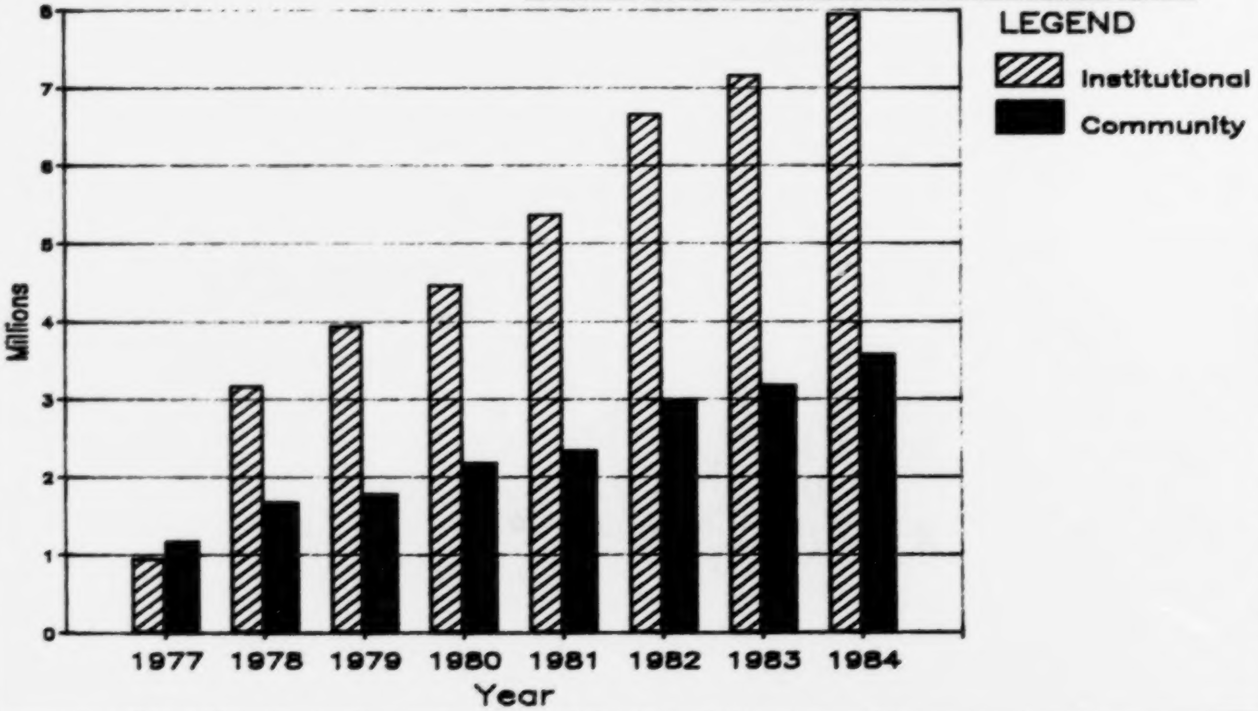
8. Other State Funds consists of "county funds-tax source."

9. Title XX. These are the Federal funds reported by Hanlon (Note 3). The state match is included within the Community Services State General Funds category of our analysis.

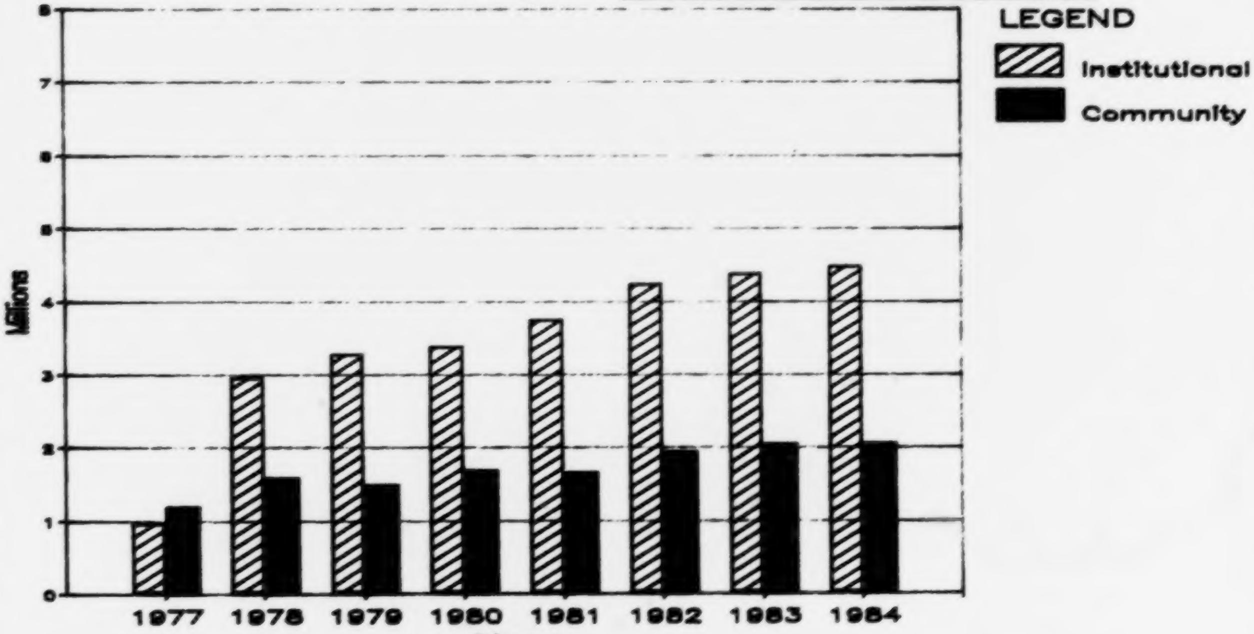
10. Private ICF/MR expenditures consist of the figures reported by Steiner in her 9/20/83 correspondence (and as extrapolated--see Notes c, d, and e in #4 above).

NEVADA
STATE PROFILE

NEVADA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

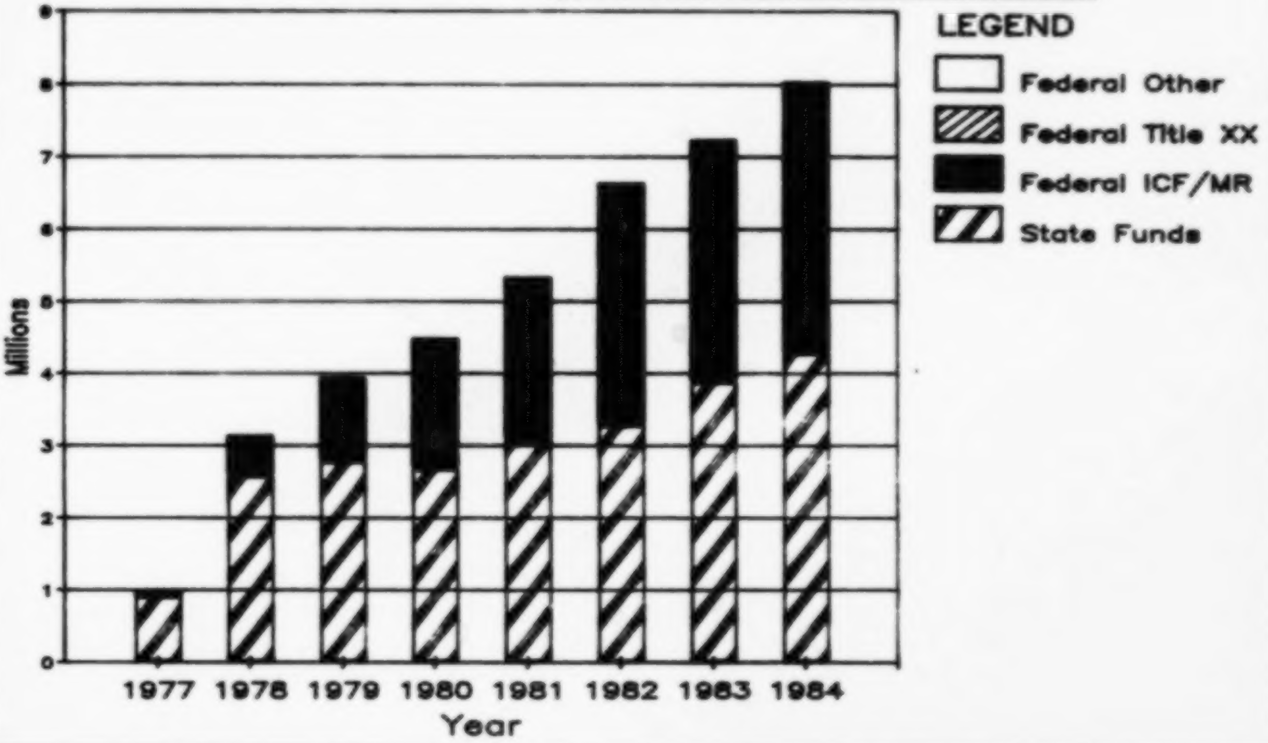


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

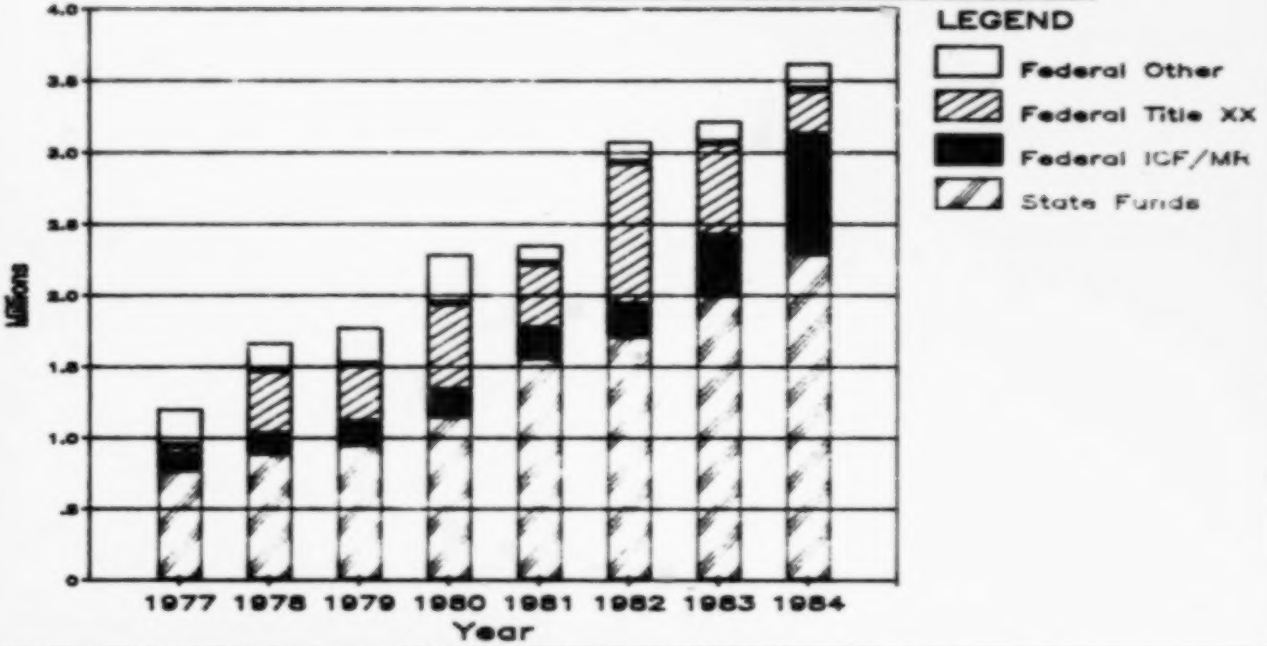
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA

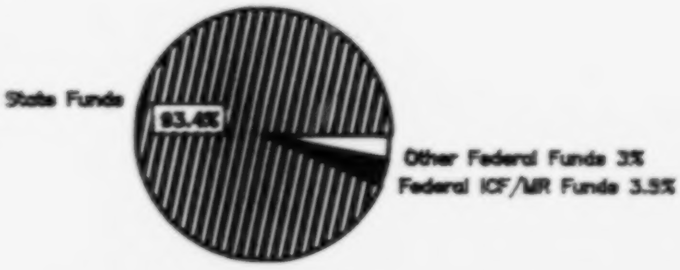
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



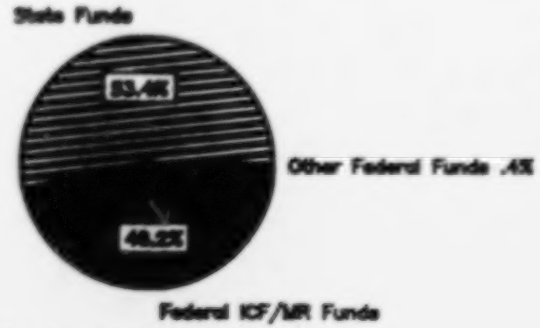
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



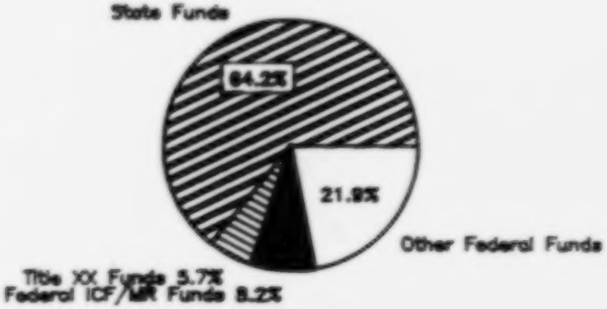
NEVADA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



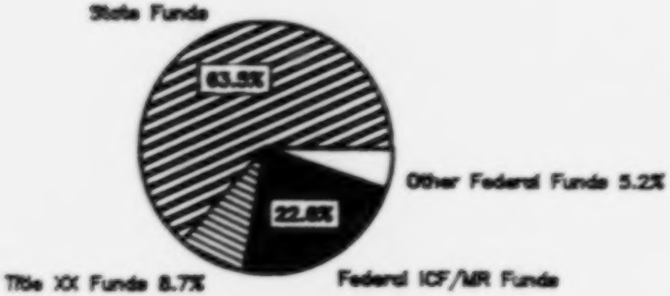
Institutional 1977: $990 Thousand



Institutional 1984: $8 Million



Community 1977: $1.2 Million

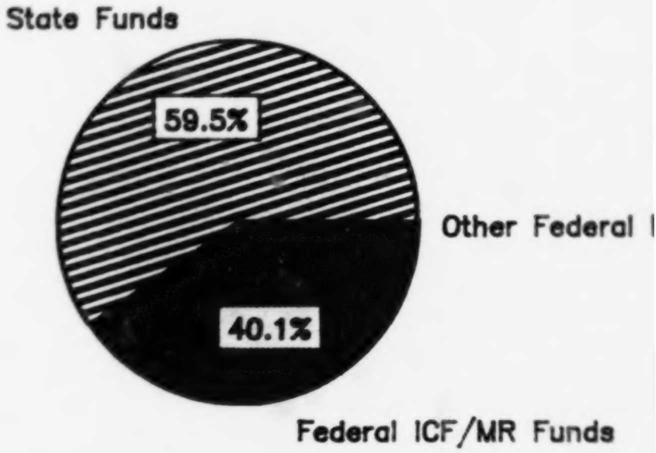


Community 1984: $3.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

NEVADA
Eight Year Total MR/DD Expendit
By Revenue Source: FY 1977–1

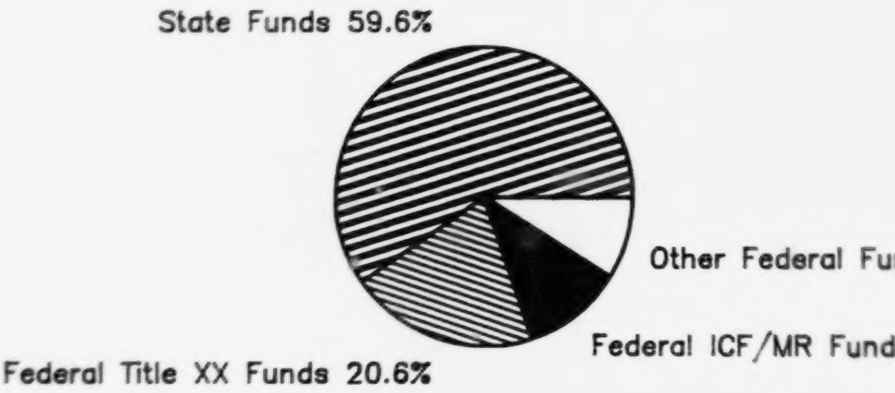
Institutional Services Fund



Institutional Total: $40 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Ex

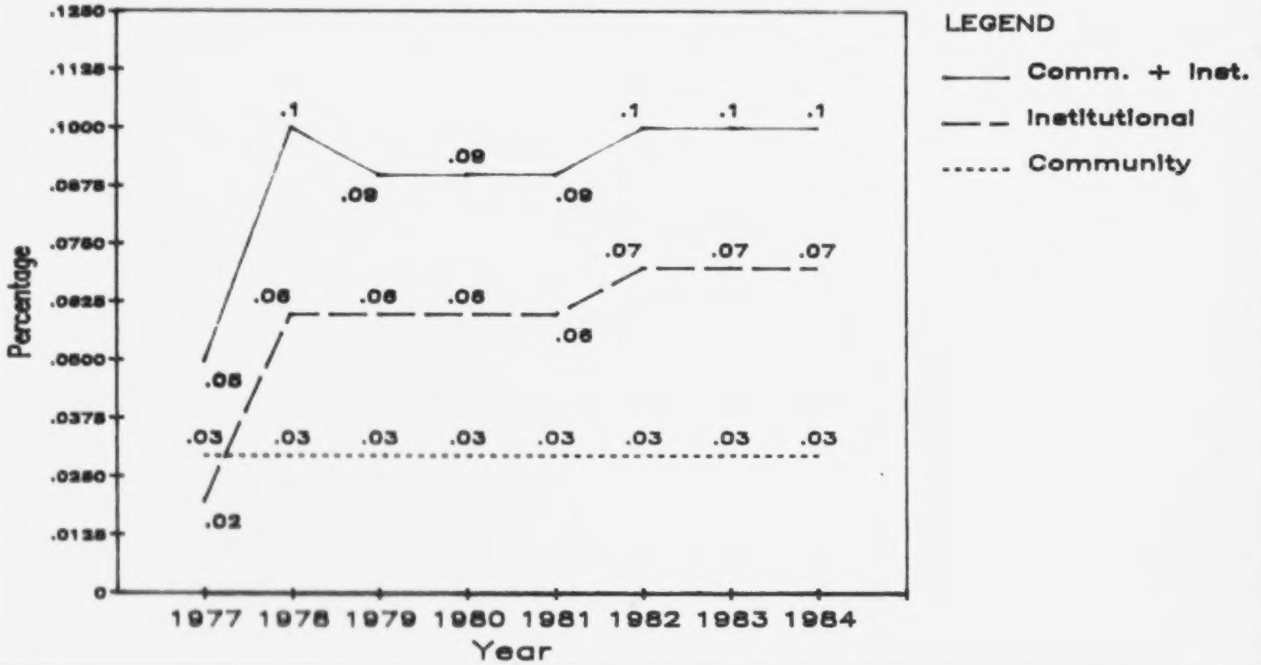


Community Total: $19 Million

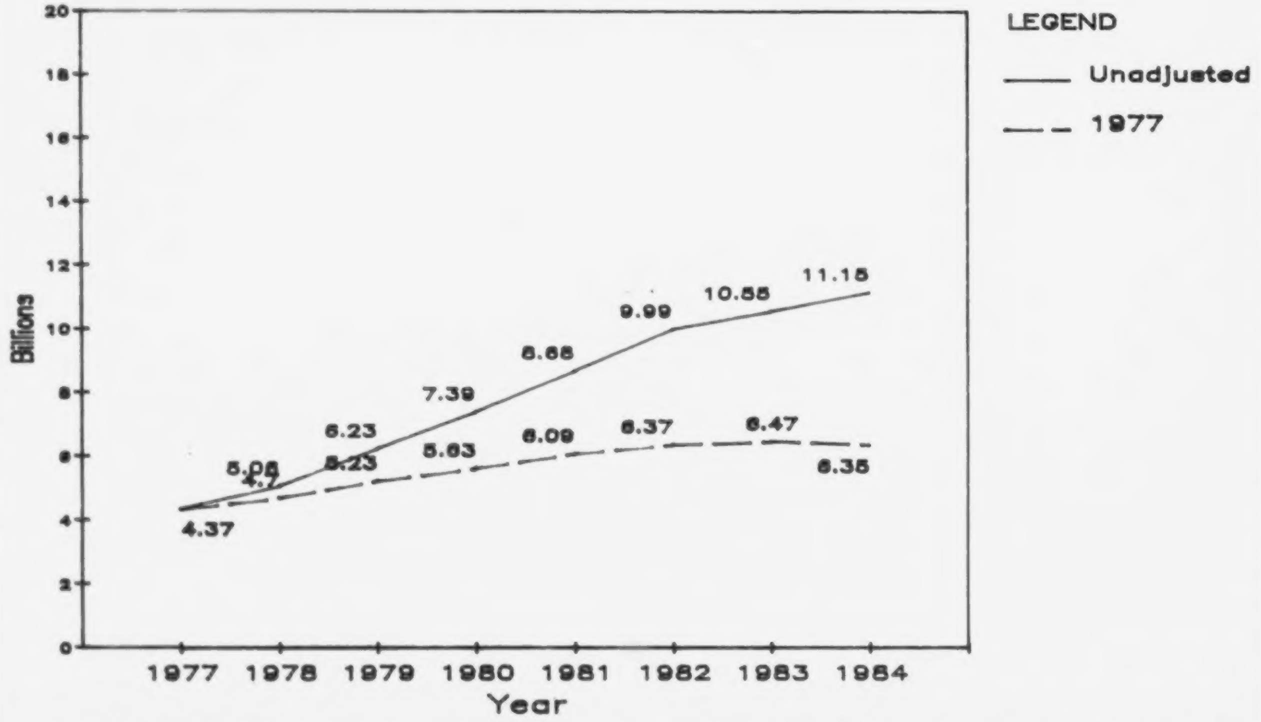
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL

NEVADA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



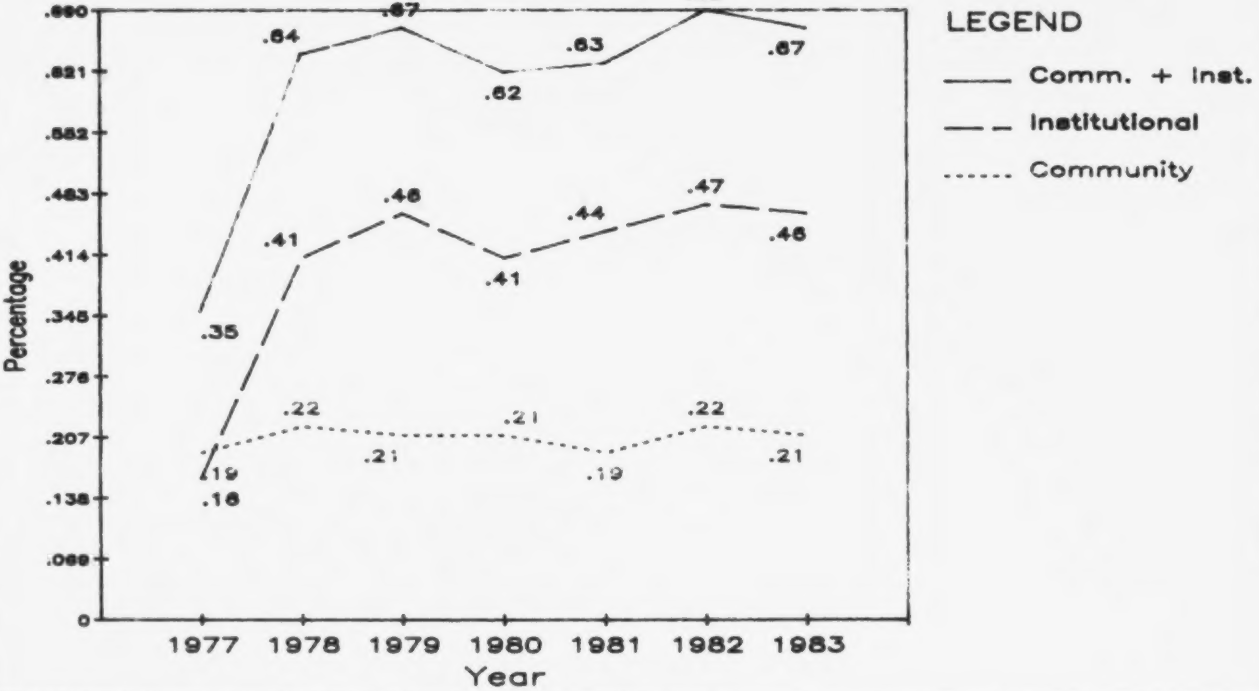
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



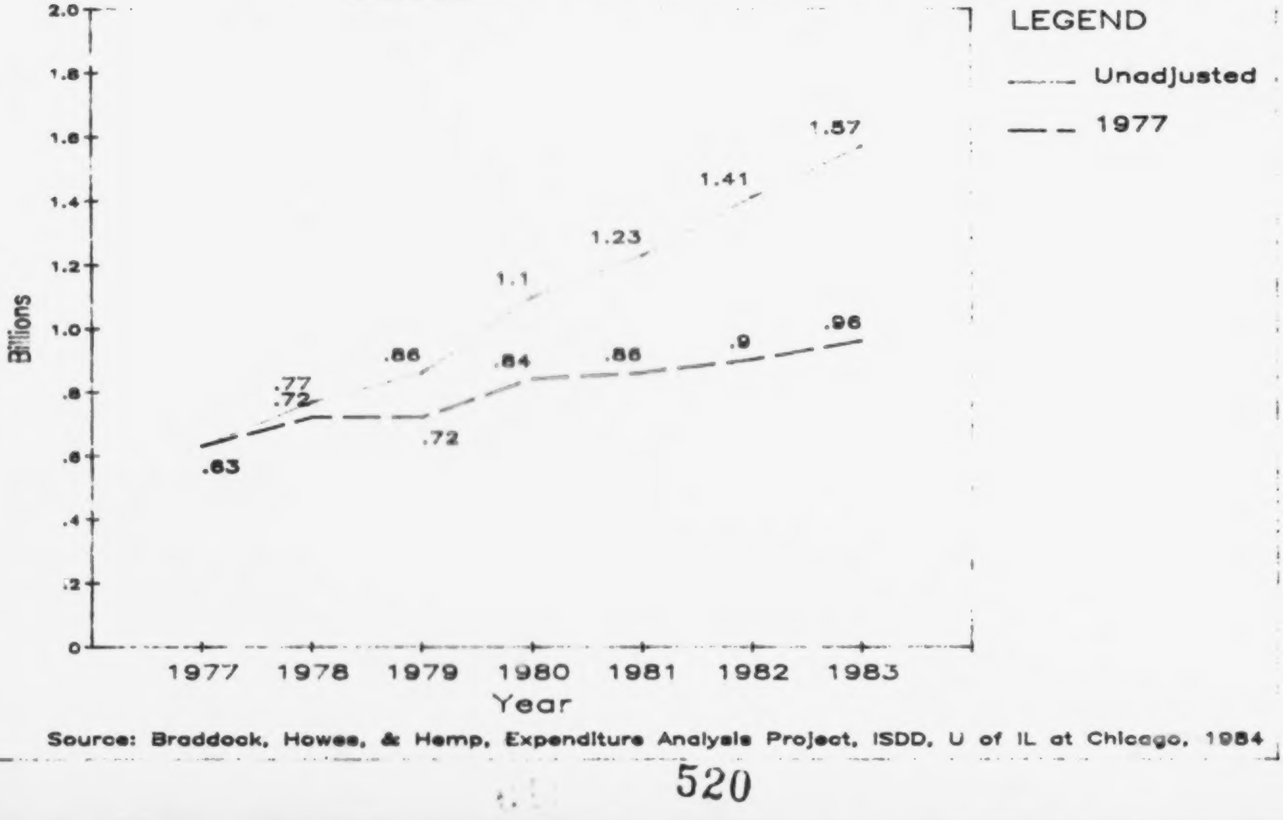
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



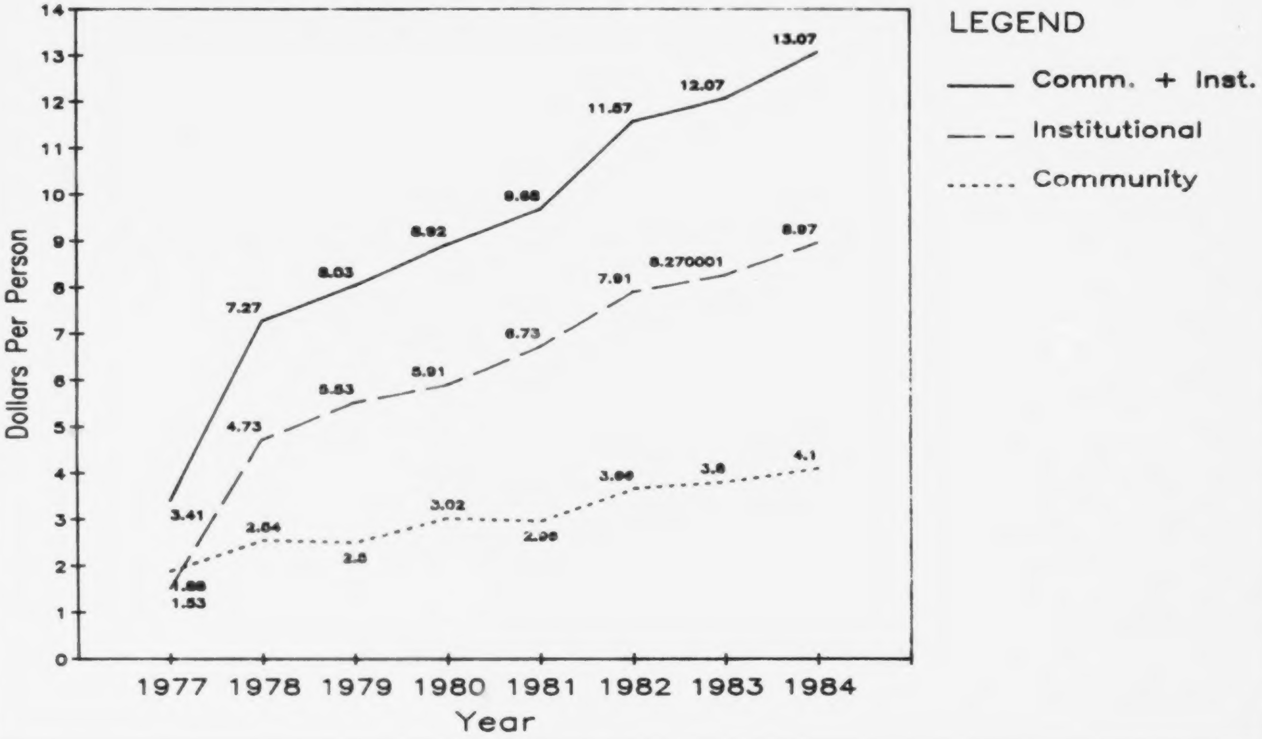
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1983



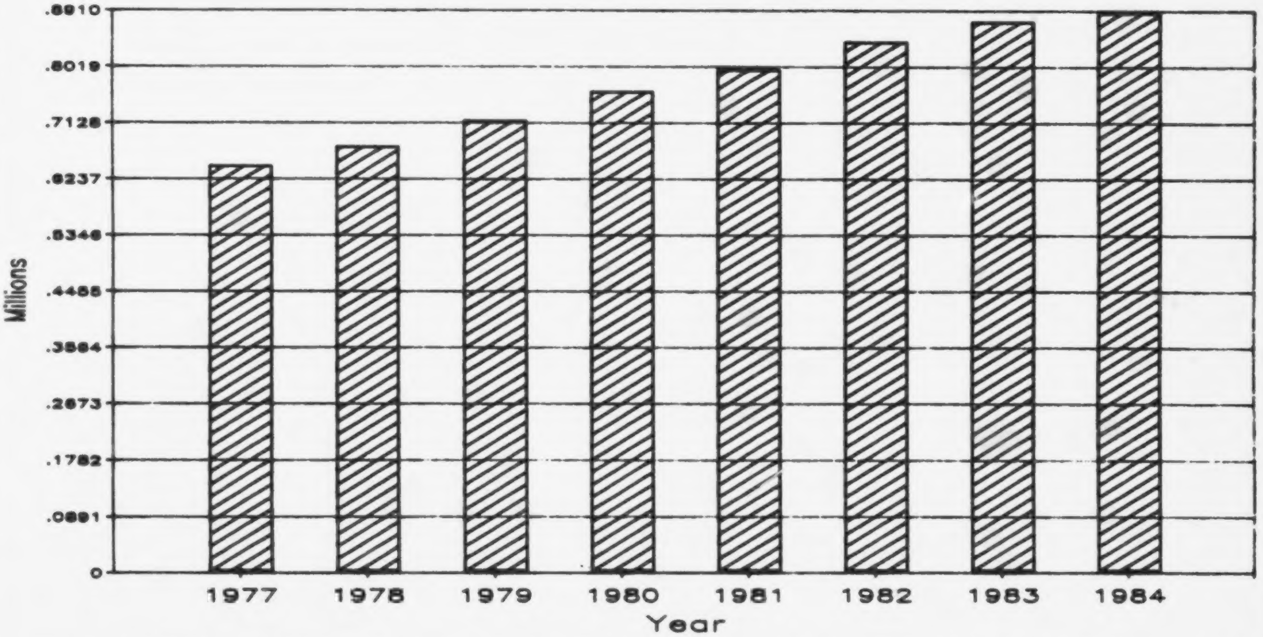
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984

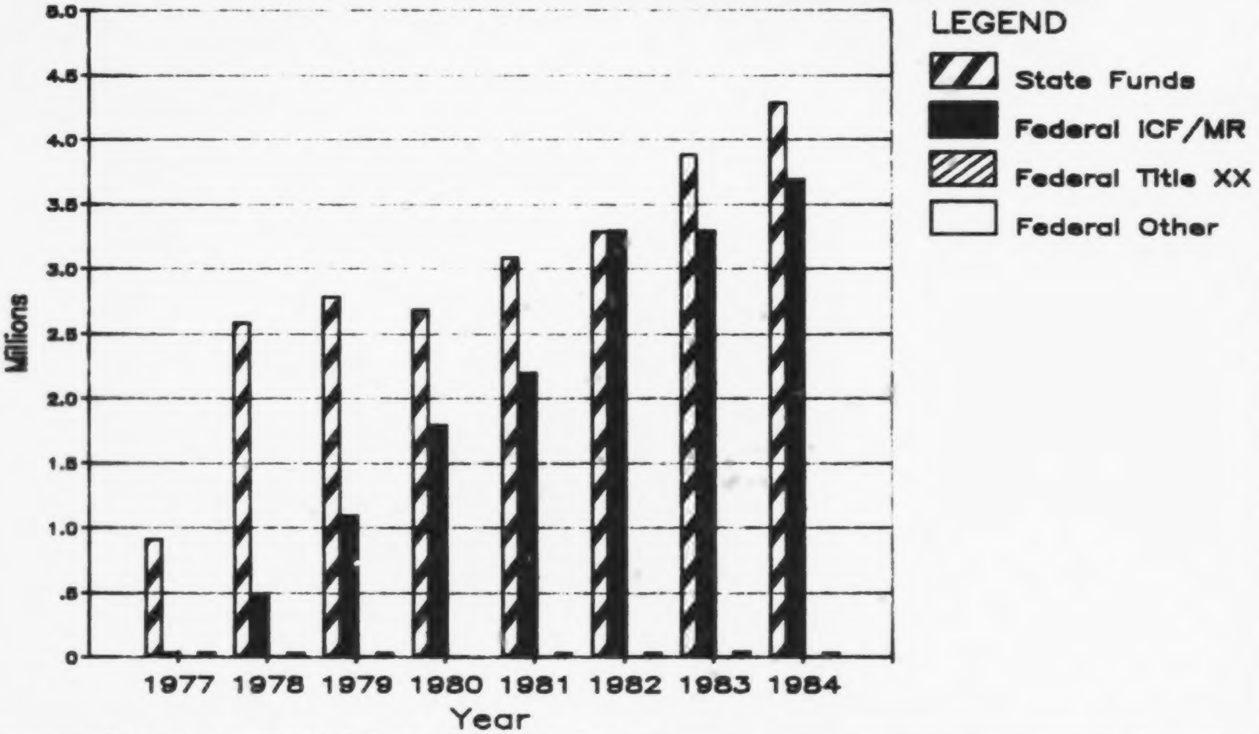


The Total State General Population FY 1977–1984

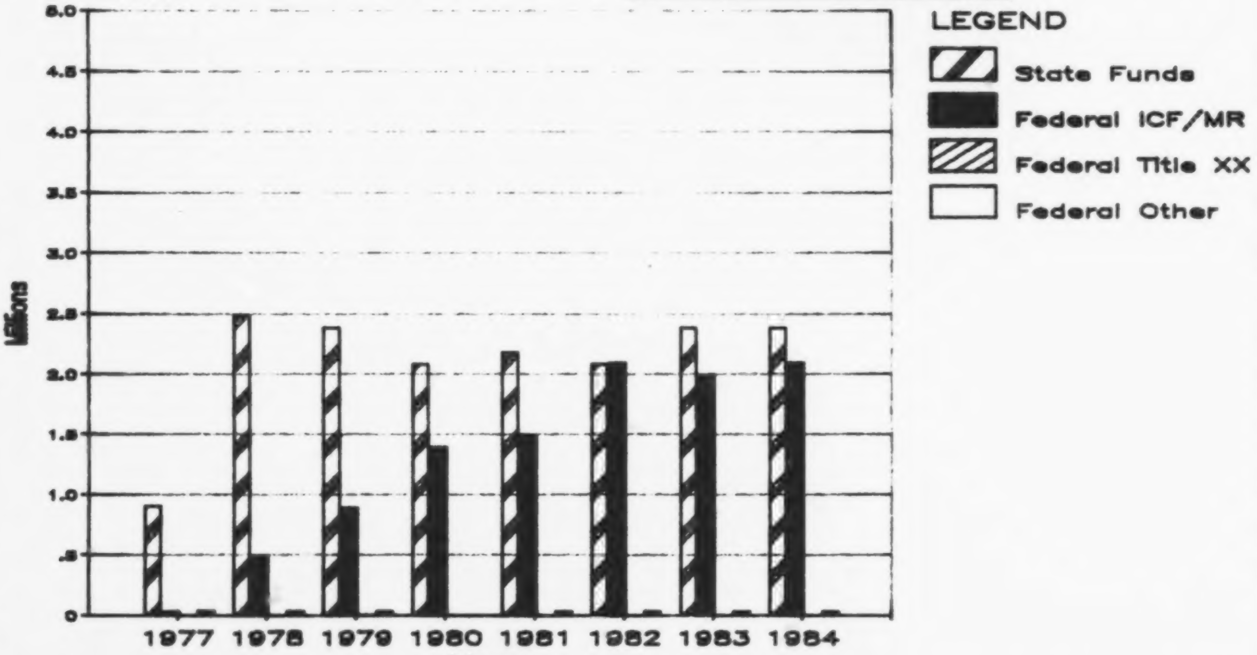


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

NEVADA
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

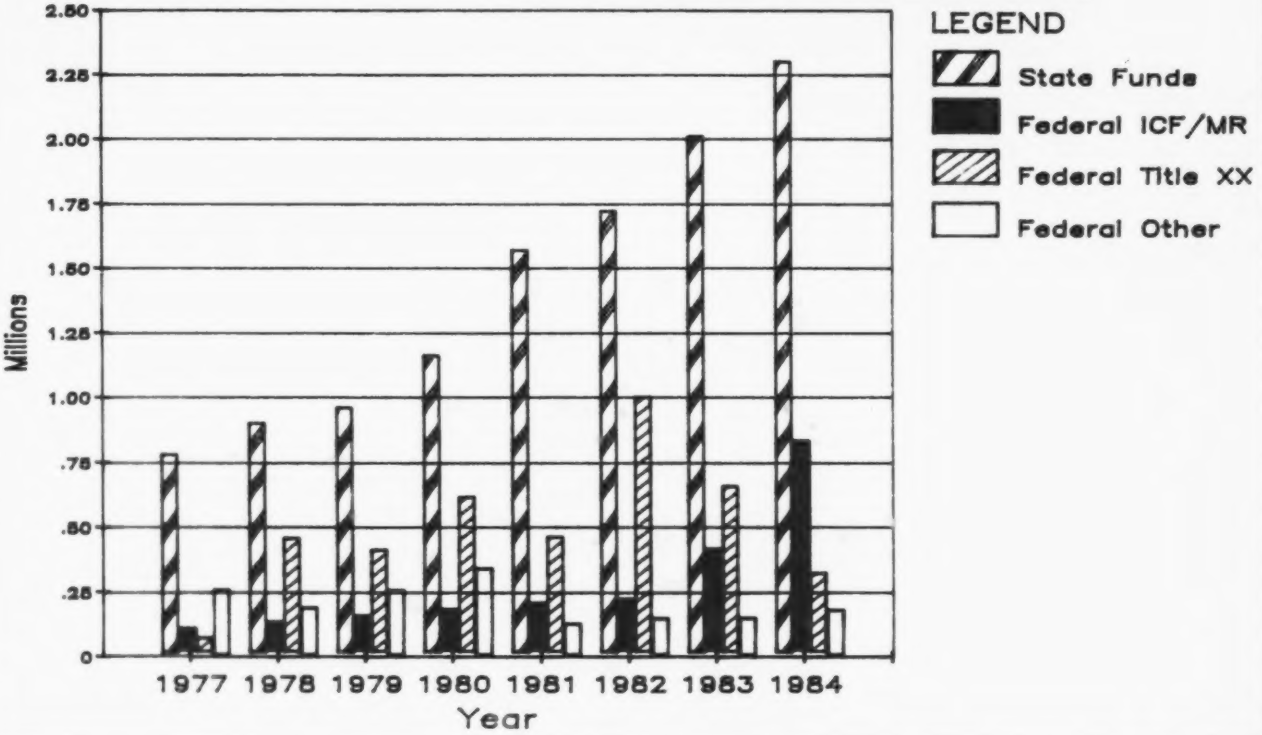


FY 1977–1984, *In 1977 Dollars*

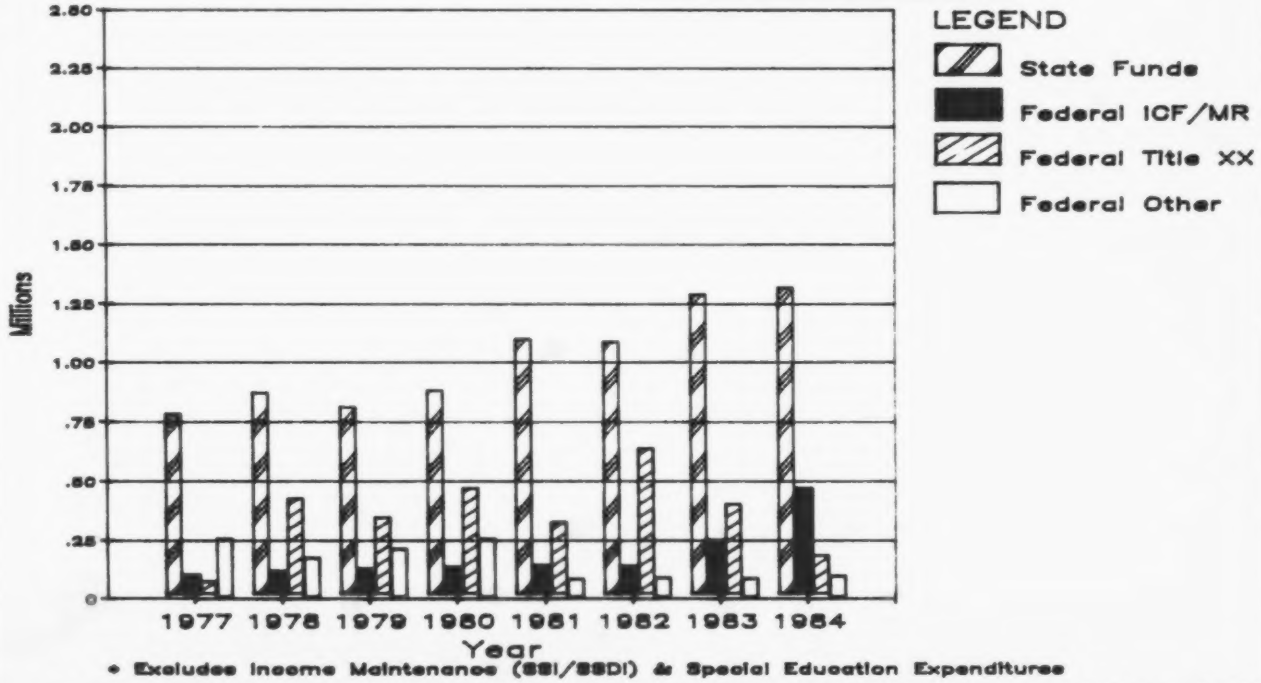


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA
MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



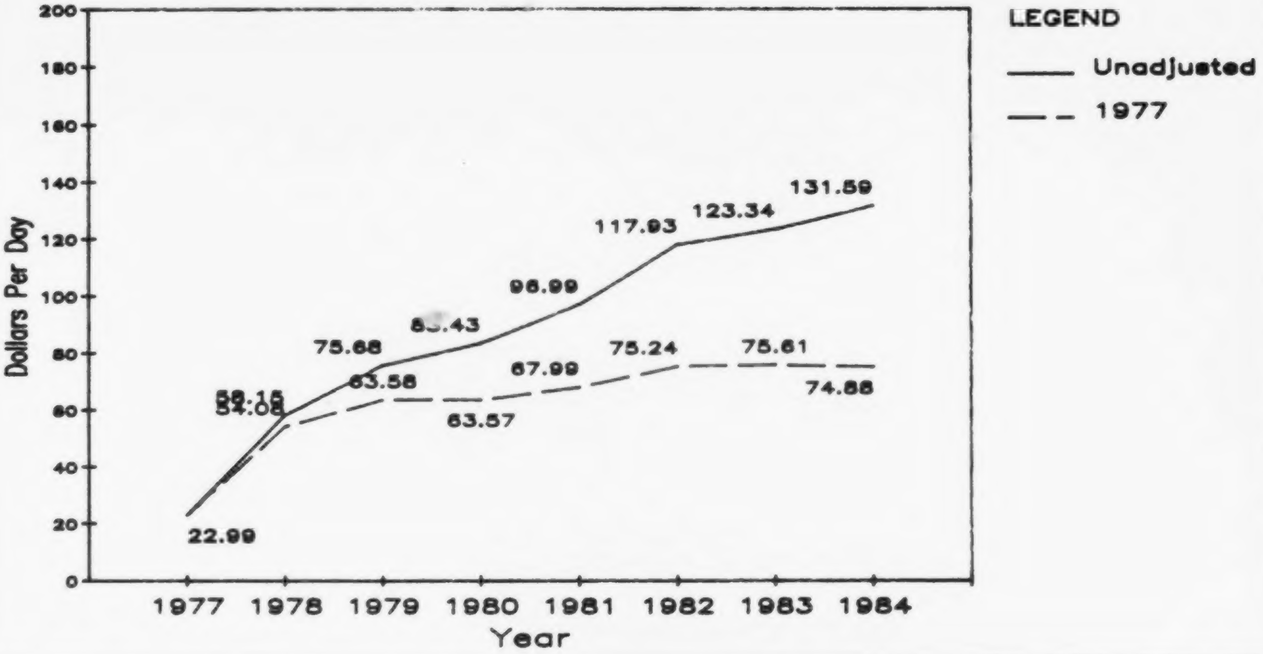
FY 1977–1984, *In 1977 Dollars*



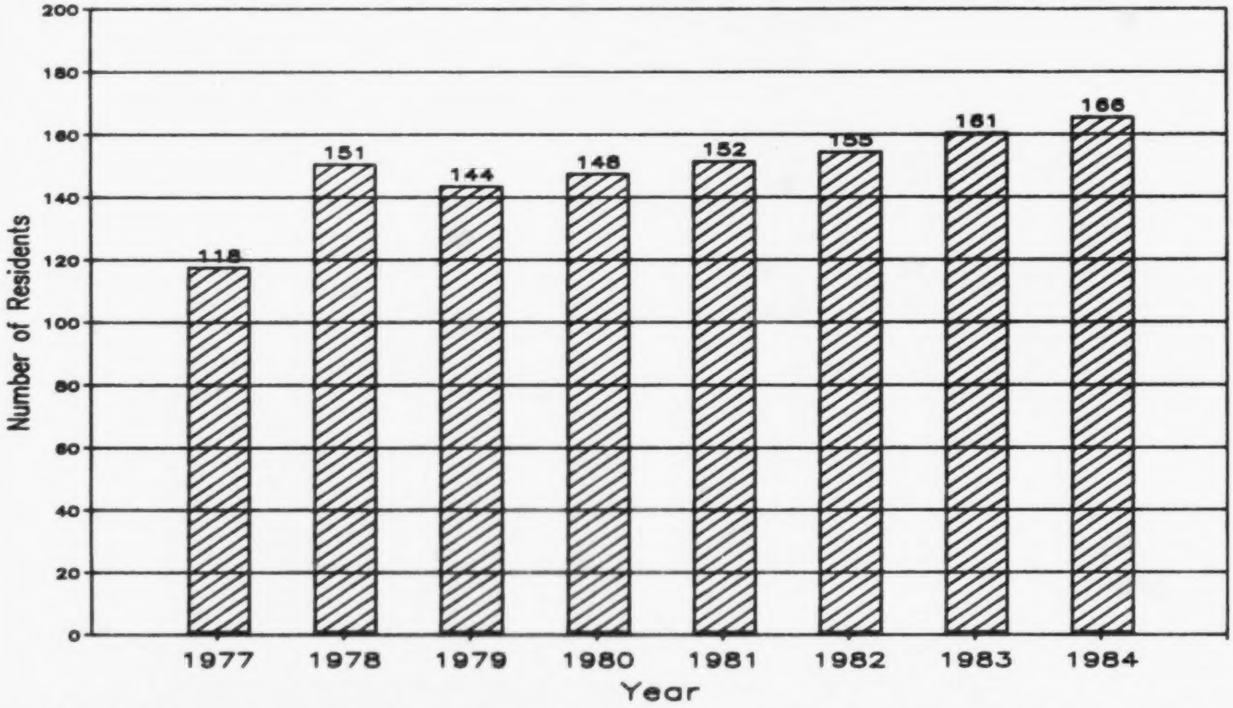
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEVADA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community [illegible]itutional services in Nevada are administered by the Division of [illegible] Hygiene and Mental Retardation in the Department of Human Resou[illegible]

2. Budget Format: Revenue source budget categories used in the Nevada Executive Budget, Department of Human Resources, are as follows:

- Department of Human Resources
  - Division of Mental Hygiene and Mental Retardation
    - Southern Nevada Mental Retardation Services
      - Regular Appropriation
      - Reversions
      - Balance Forward from Old Year
      - Balance Forward to New Year
      - Salary Adjustment
      - Federal Department of Energy
      - Developmental Disability
      - Social Services
      - Title XIX SAMI
      - Patient Collections
      - Chapter 1- Special Education
      - Education Grant PL 94-142
      - Summer Camp donations
      - Title XIX Community Waiver
    - Northern Nevada Mental Retardation Services
    - Community Training Centers
    - Residential Placement
    - Special Education Project
    - Mental Hygiene and Mental Retardation Home Care
    - Genetics

(Basically the same subdivisions as are listed under "Southern Nevada MR Services" appear under each program. Also, under each facility is a complete listing of each type of staff position (clinic director, vocational trainer II, etc.), the number of employees, and salaries.

3. Note on Data Sources: Actual expenditure figures for FY 1978, `80 and `82 are taken from the Biennial Executive Budgets for 1979-`81 and 1983-`85. Actual expenditures for FY 1977, `79, `81 and `83 are from the Office of the State Comptroller's Budget Status Reports (Provided by Sharon Coleman, letter, 2/14/84). 1984 appropriation figures are from Assembly Bill No. 672 (May 18, 1983) and Senate Bill No. 478 (May 19, 1983). In Nevada, the Legislature appropriates only State General Fund monies in the Assembly Bill. The Senate Bill is an authorization to receive federal (and other) funds. The two documents together account for the total program budget.

II. INSTITUTIONAL SERVICES

4. Institutional Services include Northern (Sierra) Developmental Center and Southern (Desert) Developmental Center. In FY `77, the account was called "Mental Retardation Centers." The combined average daily census at the centers has been:

FY 1977-118
1978-151
1979-144
1980-148
1981-152
1982-155
1983-161
1984-166

(Source: Medical Records Offices at both Centers, 6/21/84 telephone interviews).

5. State General Funds are labeled "Appropriations" in the Budget documents.

6. Other State Funds in this analysis are almost exclusively ICF/MR state share funds. In the Executive Budget, the "Title XIX" line is a gross amount and includes both state and federal shares. The state share (50% each year) was subtracted from the total Title XIX ICF/MR reimbursements and incorporated in the analysis as Other State Funds.

7. Title XIX. In FY `84, the Medicaid Community Waiver is budgeted at $180,000 through the Developmental Centers. The Waiver covers case management of residents who have moved to community based homes. In our analysis, the Waiver funds were deducted from the Institutional Services expenditures since the funds are actually supporting community-based clients. Source: Jean Wilshur, Budget Division, telephone interview, 8/25/83).

8. Other Federal Funds are a variety of small federal grants.

III. COMMUNITY SERVICES

9. Community Services include the following programs from the Executive Budget: "Community Training Centers," "Resident Placement Account," "Community Awareness Project," "Mental Hygiene and MR Home Care," and "Genetics." Also included are the Title XIX Community Waiver funds (see Note 6) and the Title XX funds appearing in the Developmental Centers' budgets (see Note 11).

There are currently 15 Community Training Centers in eleven communities. The MR Home Care Program is financed entirely by General Fund. It was established in 1981 to provide a monthly cash payment to individuals caring for profoundly retarded relatives in their own homes. In FY `83, $160 per month was provided to approximately 60 families.

10. Other State Funds include Patient Receipts, SSI (for State clients only), collections from families and third party payments. SSI receipts are not separated by the state from the other client fees, however, and these small amounts of federal funds are included with Other State Funds.

11. Title XIX: These funds represent the Medicaid Waiver which is budgeted under the "Community Training Centers" and the "Resident Placement Account" in the Executive Budget and Legislative documents, plus the Waiver money budgeted under the Development Centers (see Note 7).

12. Title XX funds are labeled as "Social Services" revenue in the Budget. There are Title XX funds in the two Developmental Centers' budgets as well as in the various community program elements in the State budgets. The amounts appearing in Developmental Centers' budgets have been considered as Community Services expenditures in our analysis to reflect actual use in the community. The following amounts of federal Title XX funds were deducted from the Center budgets and labeled Community Services funds ($ in thousands):

Fiscal Year	Title XX
1977	$112
1978	90
1979	114
1980	155
1981	91
1982	41

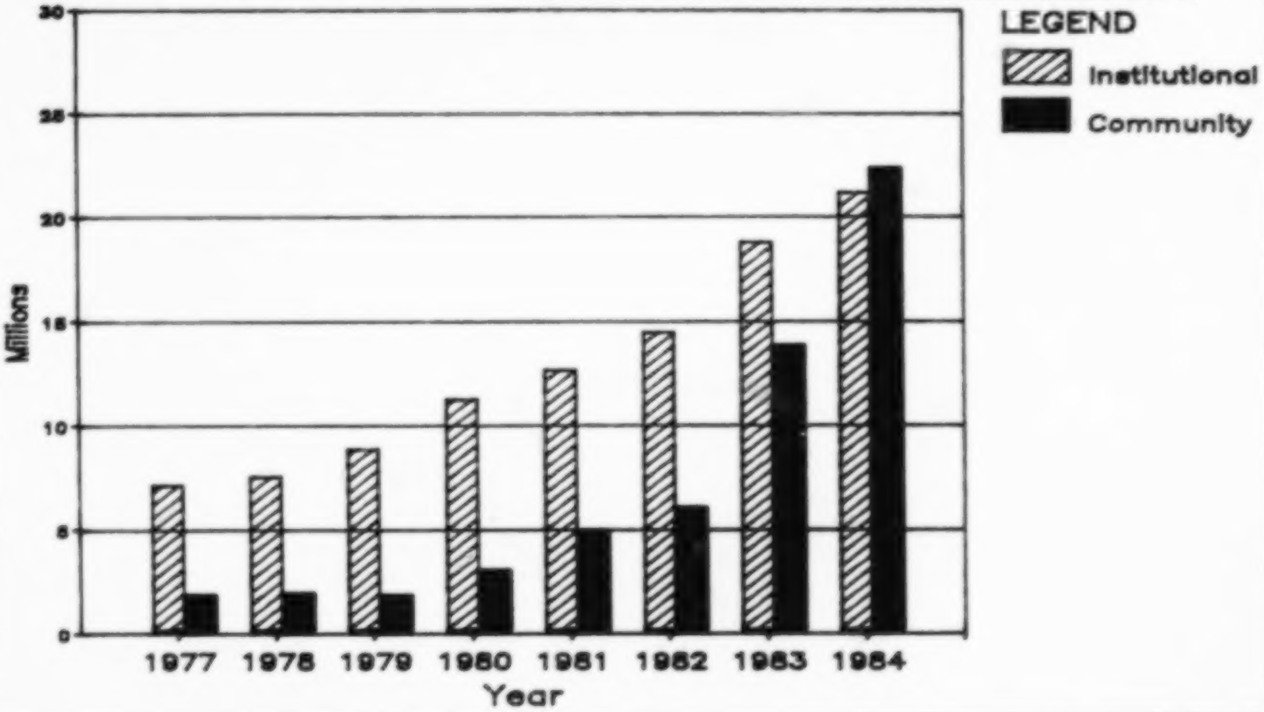
The state match for Title XX is included in the State General Fund line.

13. Other Federal Funds are primarily P.L. 89-313 education funds used for the "Community Awareness Project," a special community-based education project.

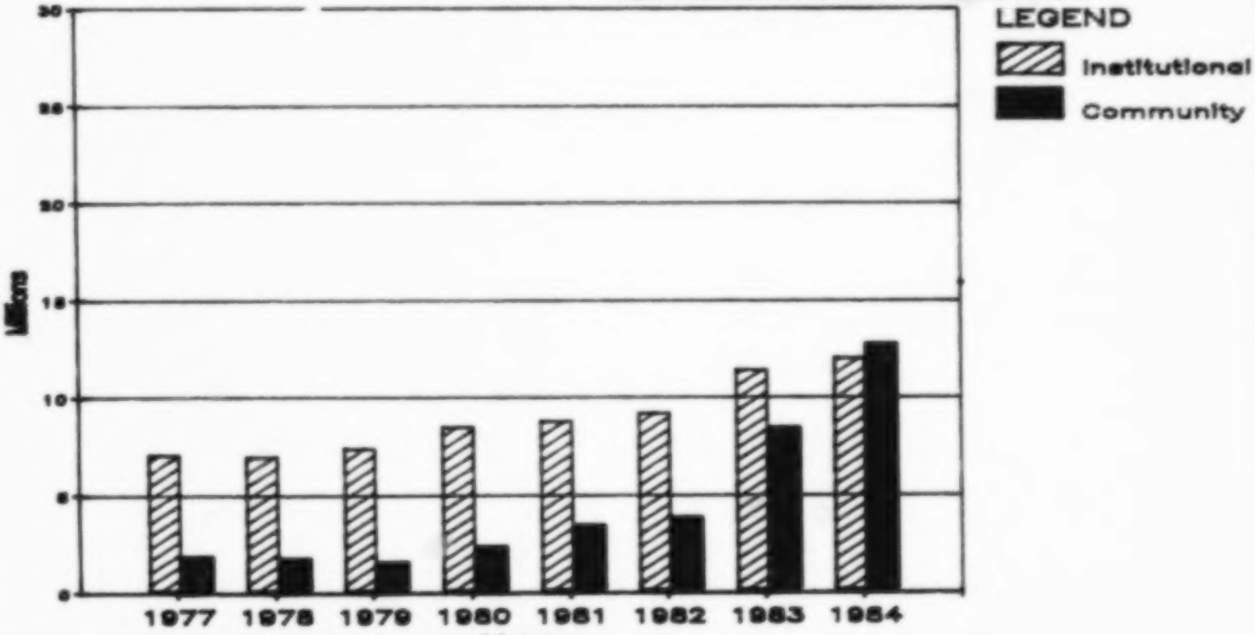
14. Private ICF/MR. There is only one private ICF/MR (Eagle Valley Children's Home in Carson City). John Duarte, Department of Welfare (telephone, 8/30/83) said it would be very difficult to retrieve exact expenditure amounts for prior years. FY `77-`81 figures are estimates from Duarte. FY `82-`84 are exact expenditures, however.

NEW HAMPSHIRE
STATE PROFILE

NEW HAMPSHIRE
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

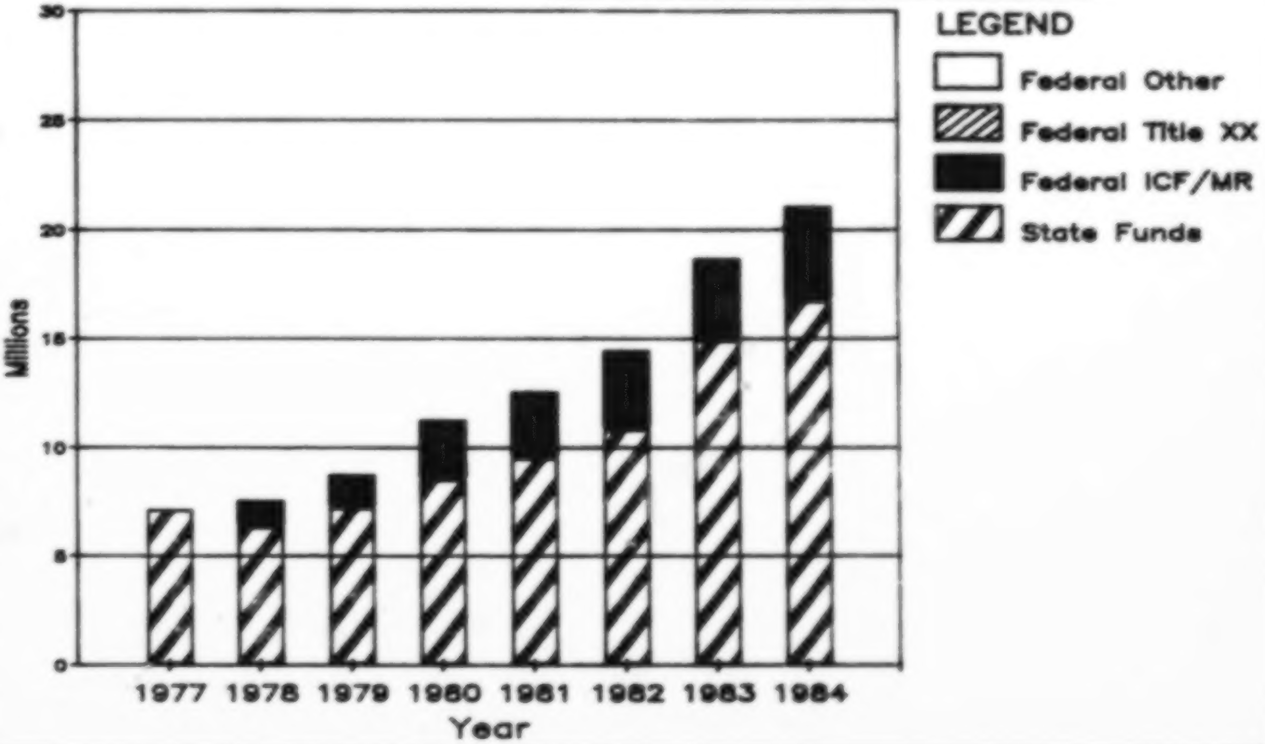


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

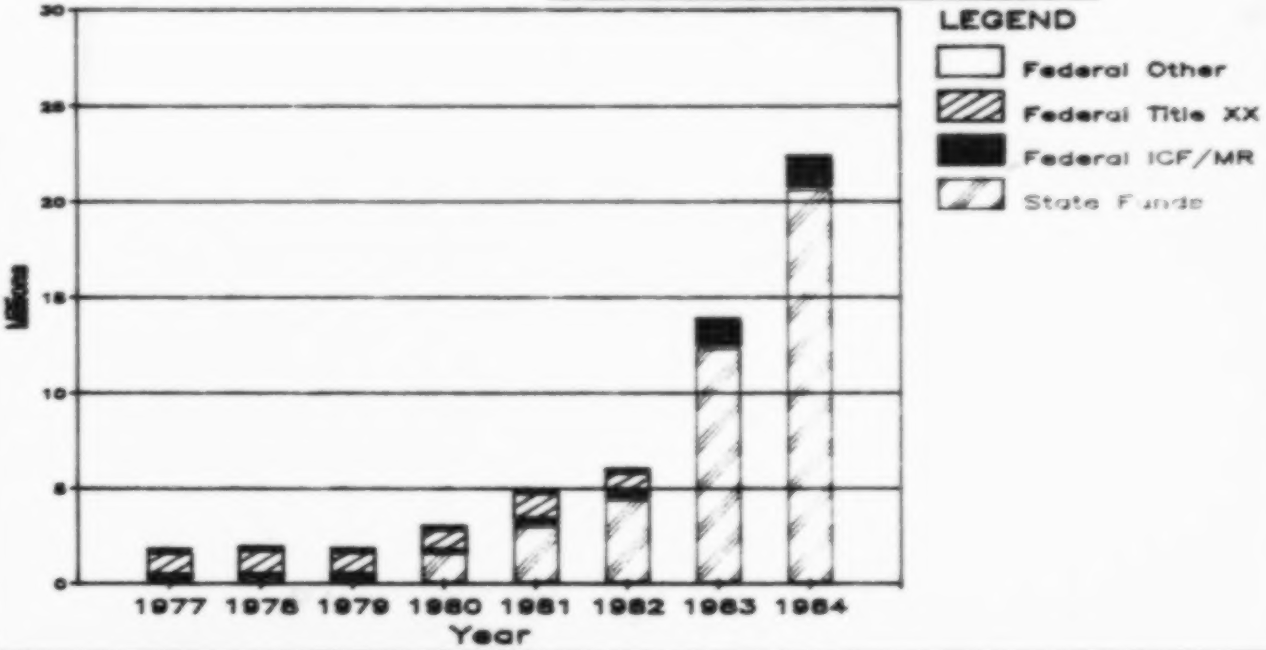
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

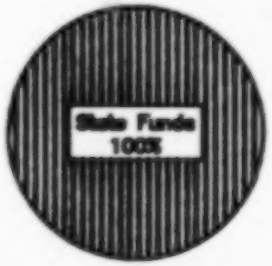
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



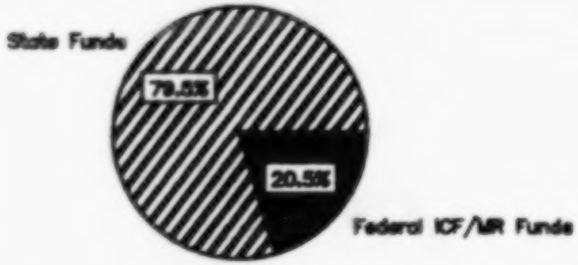
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



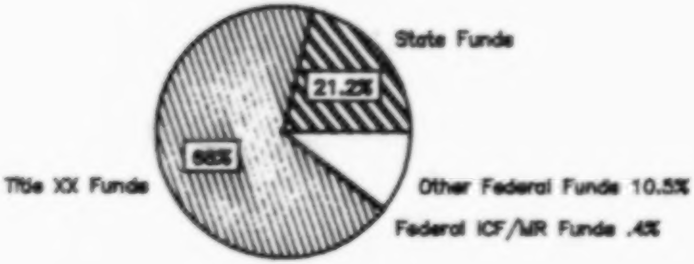
NEW HAMPSHIRE
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



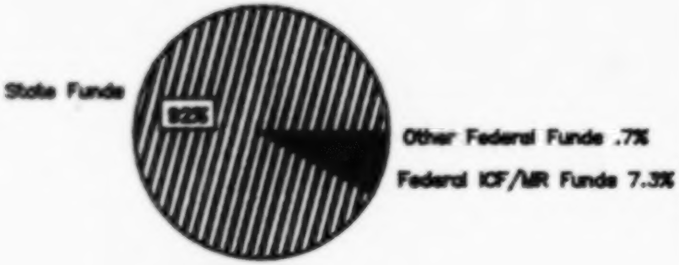
Institutional: 1977 Total Funds—$7.2 Million



Institutional: 1984 Total Funds—$21.2 Million



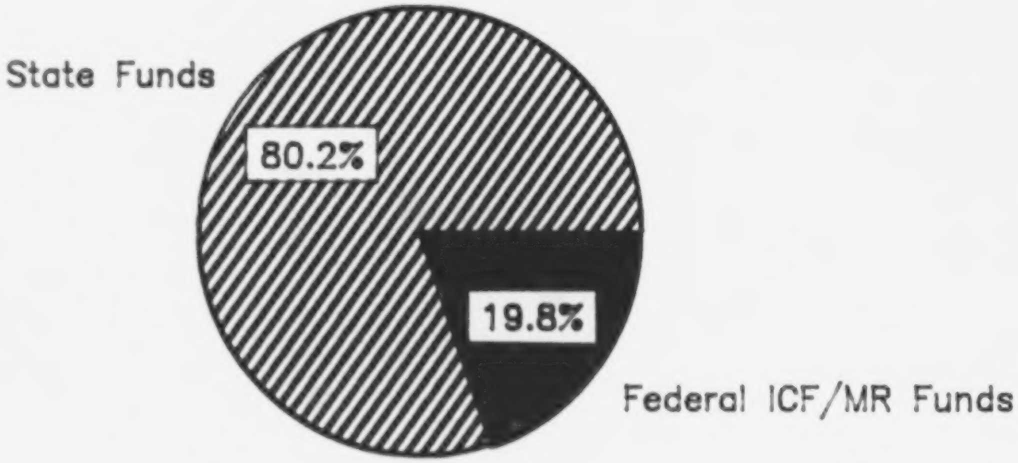
Community: 1977 Total Funds—$1.9 Million



Community: 1984 Total Funds—$22.4 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

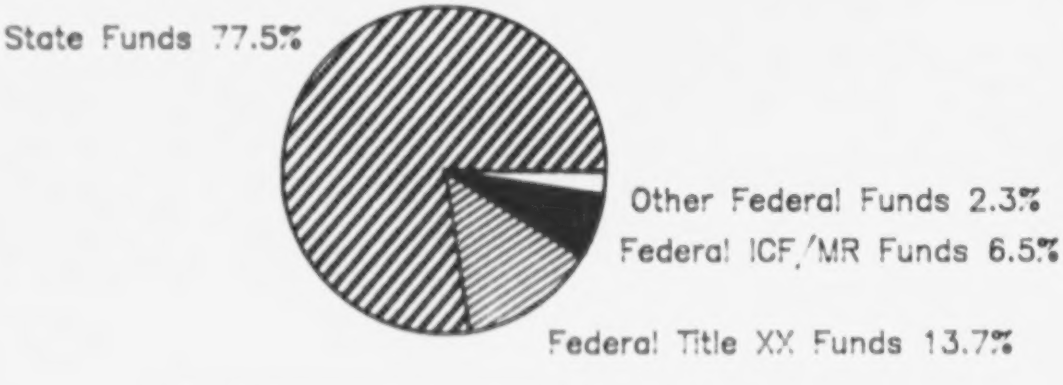
NEW HAMPSHIRE
Eight Year Total MR/DD Expenditures
By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional FundsÅ $102 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

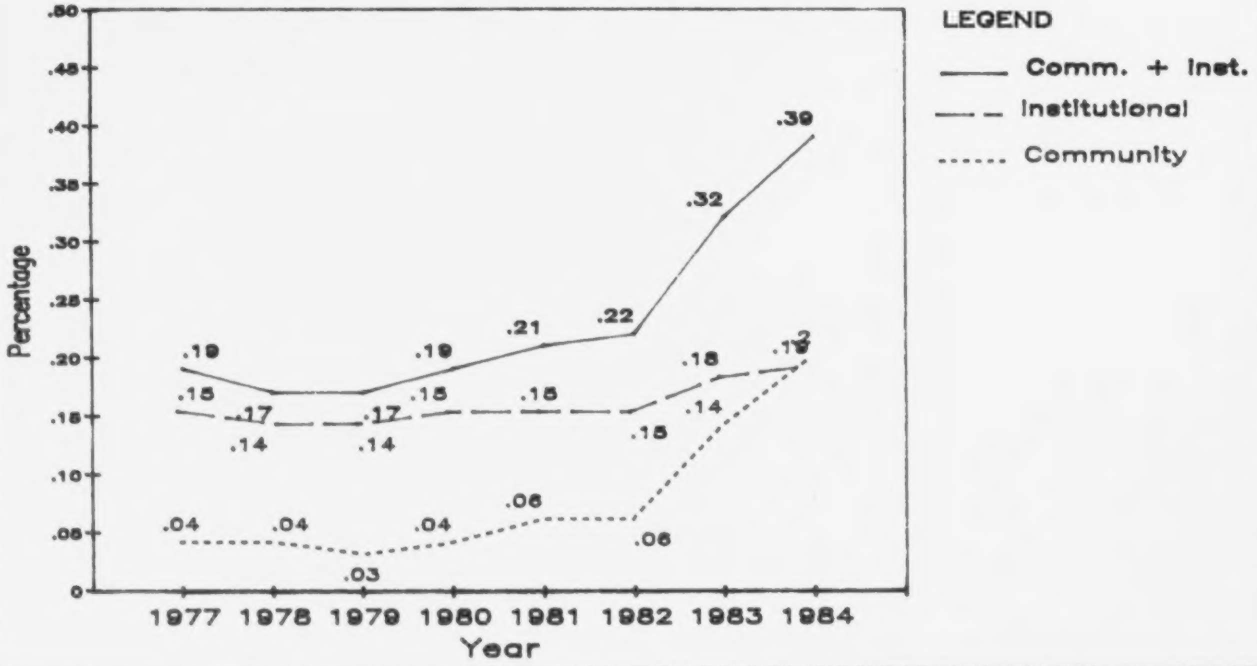


Total Community Funds: $56.3 Million

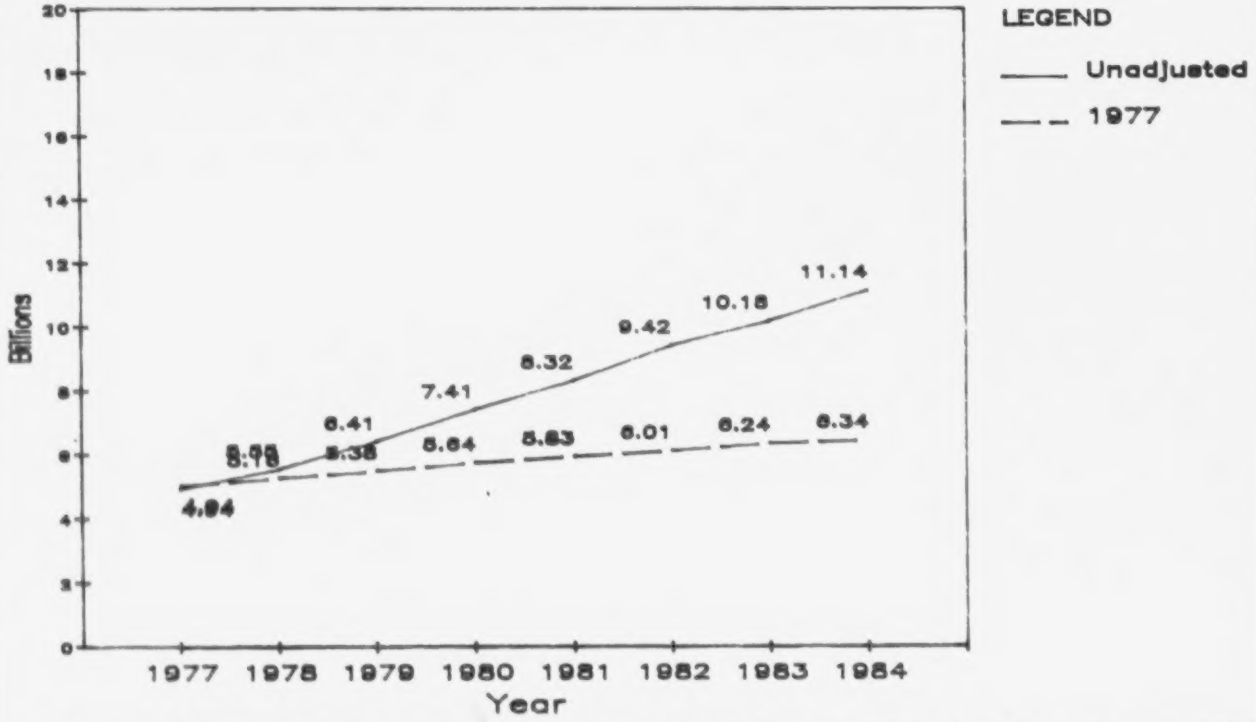
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



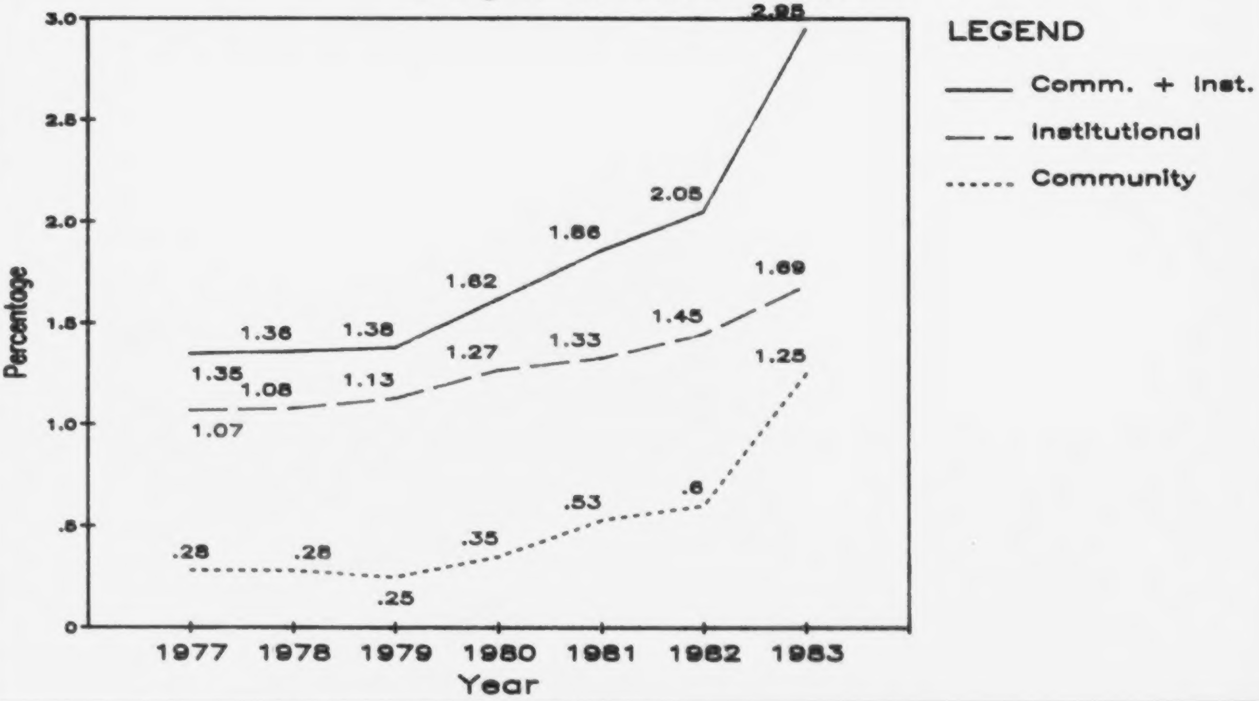
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



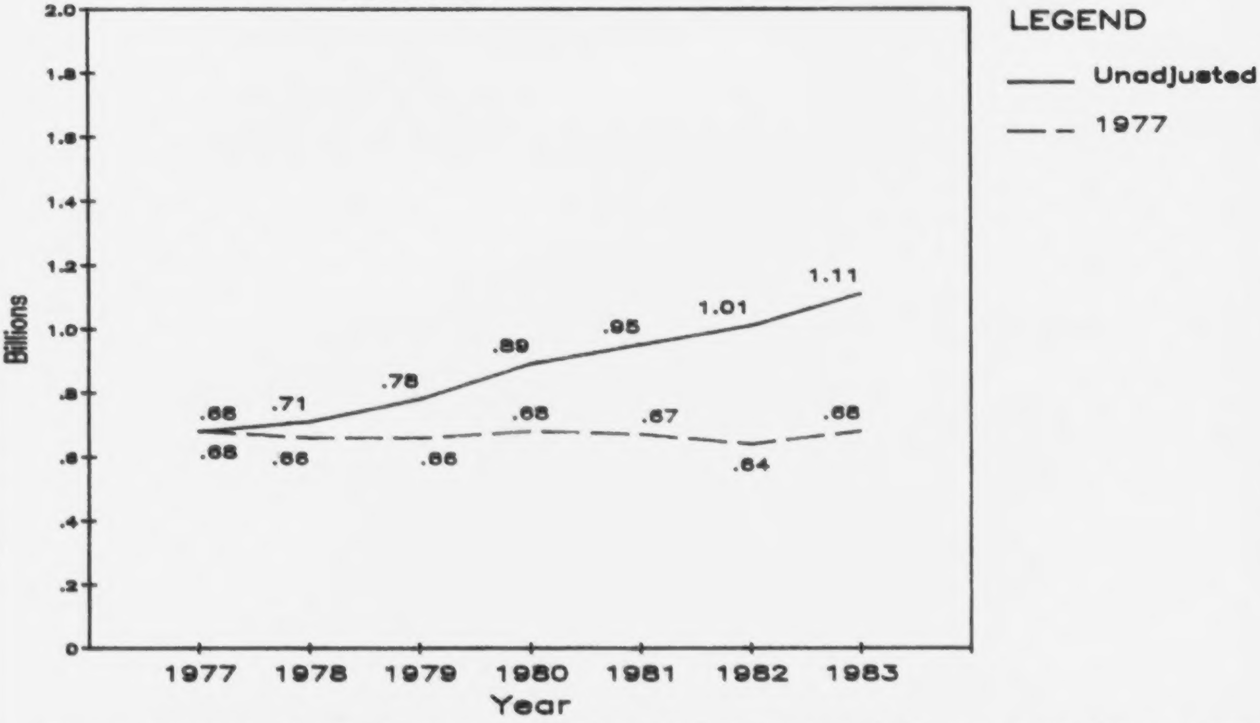
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



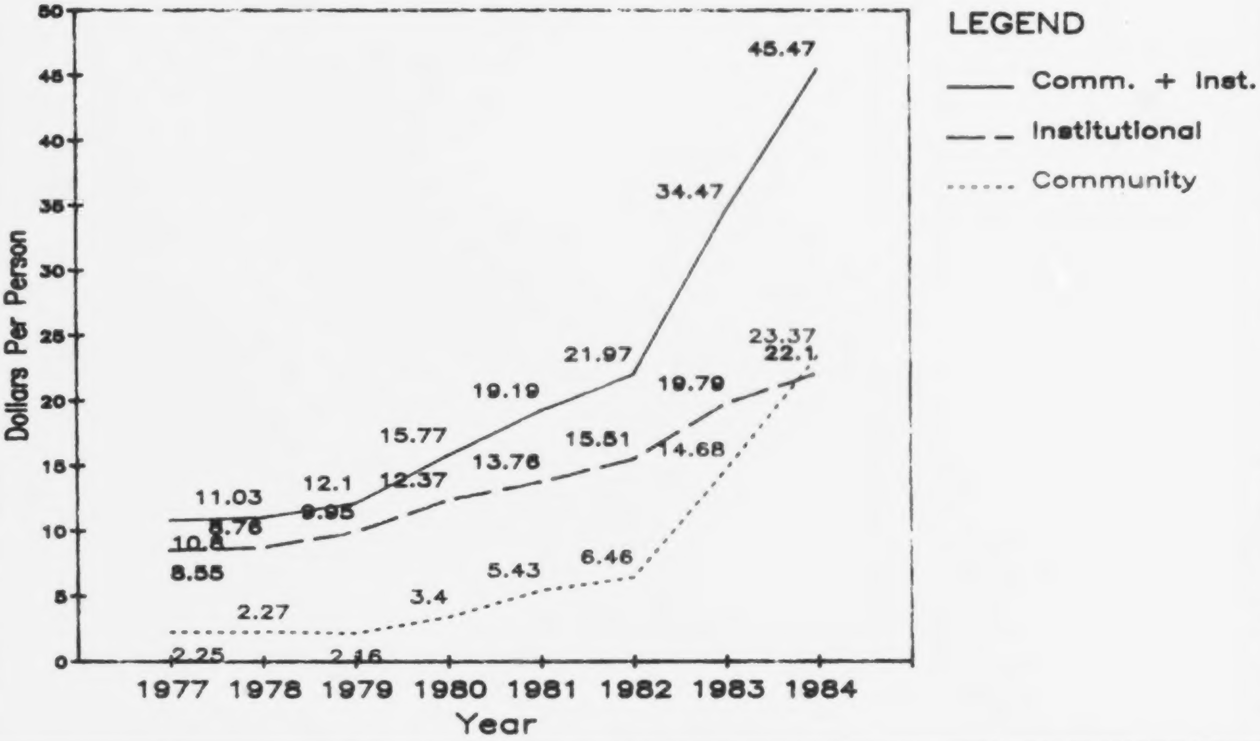
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



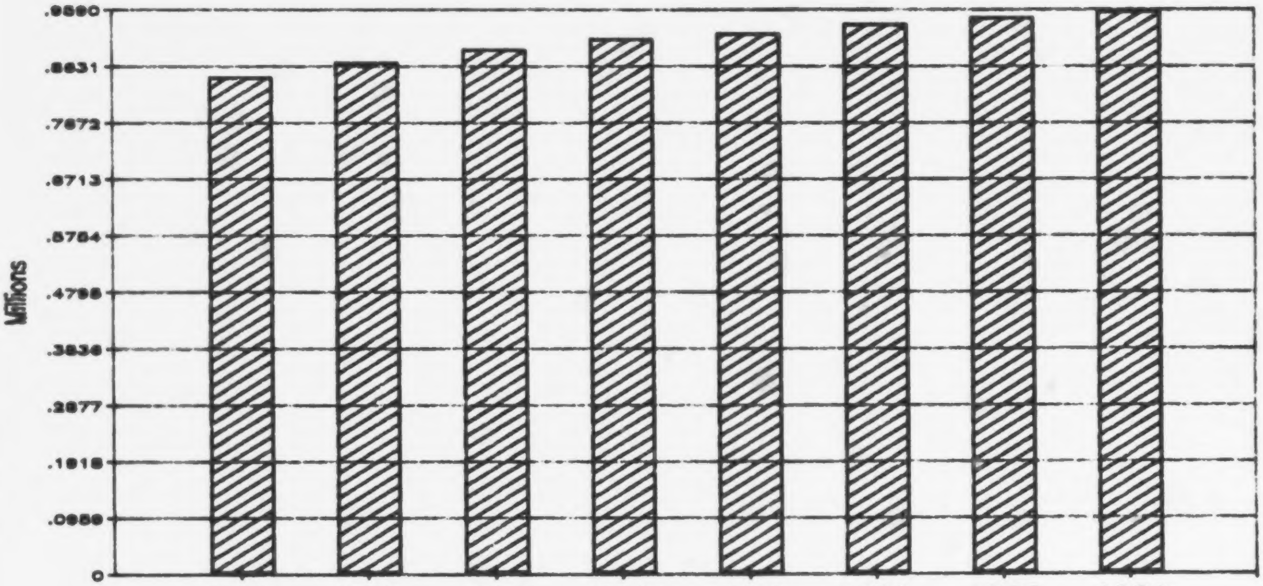
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

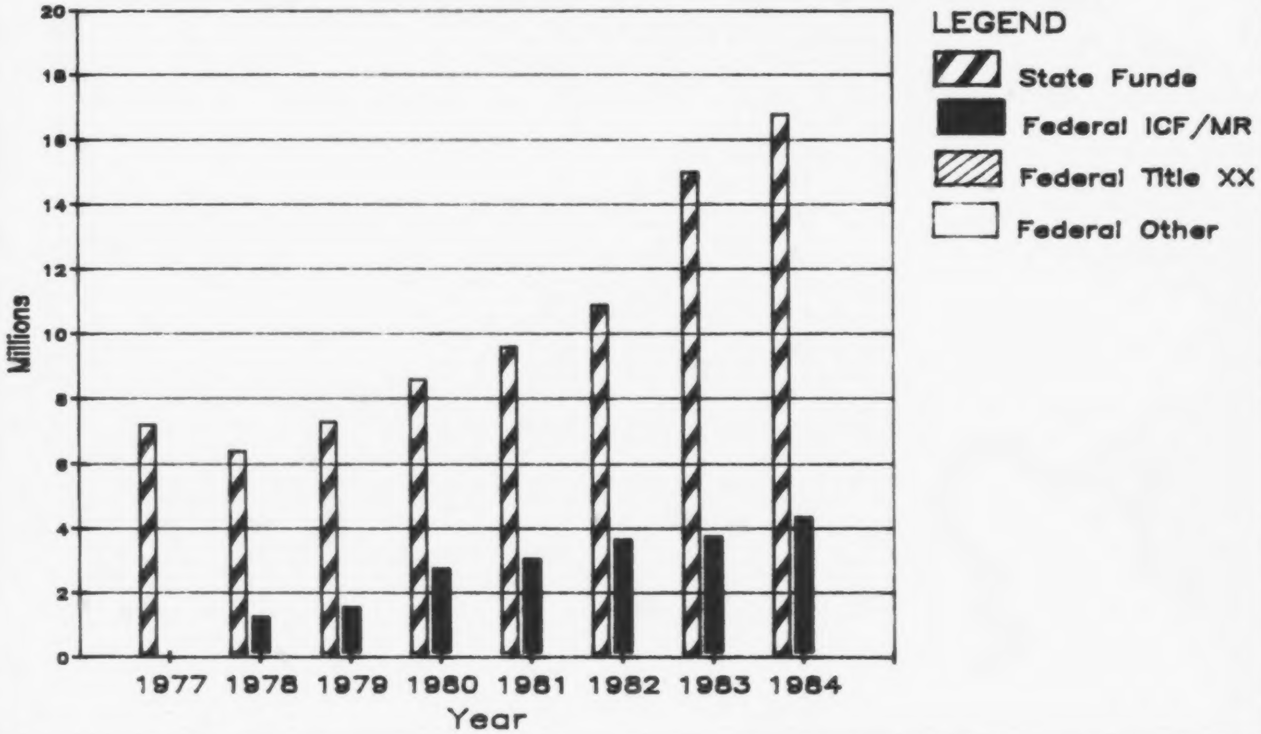


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

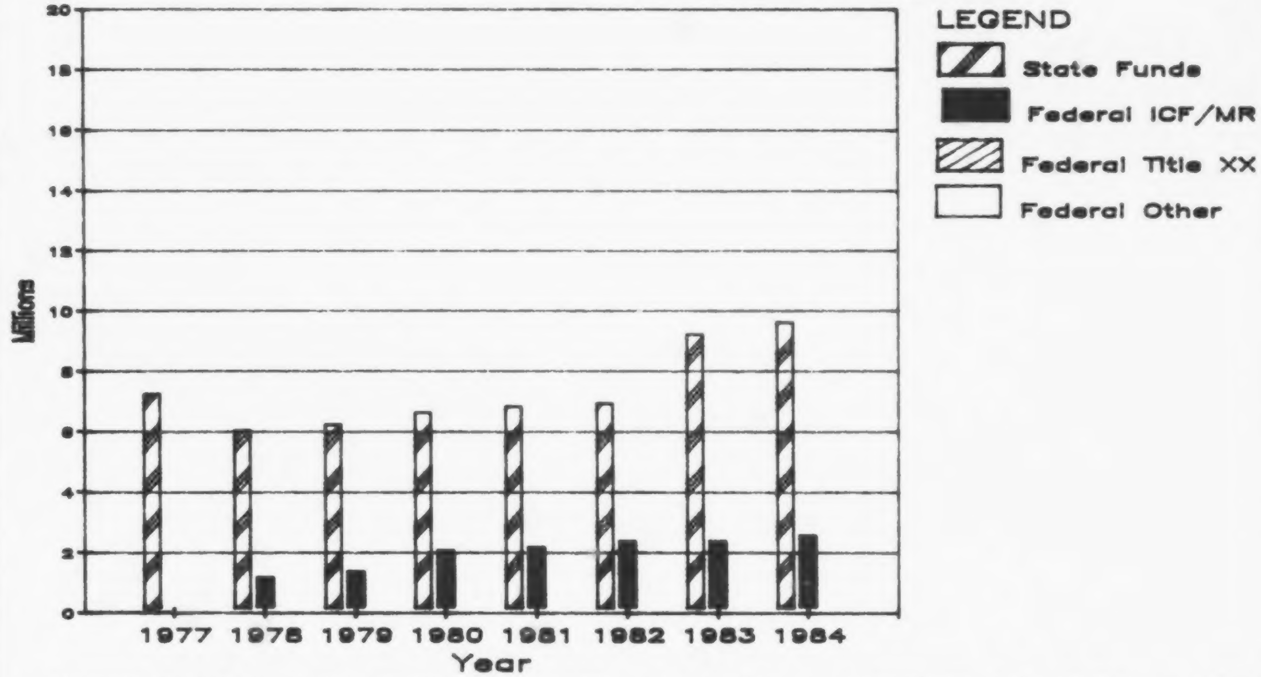
NEW HAMPSHIRE

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



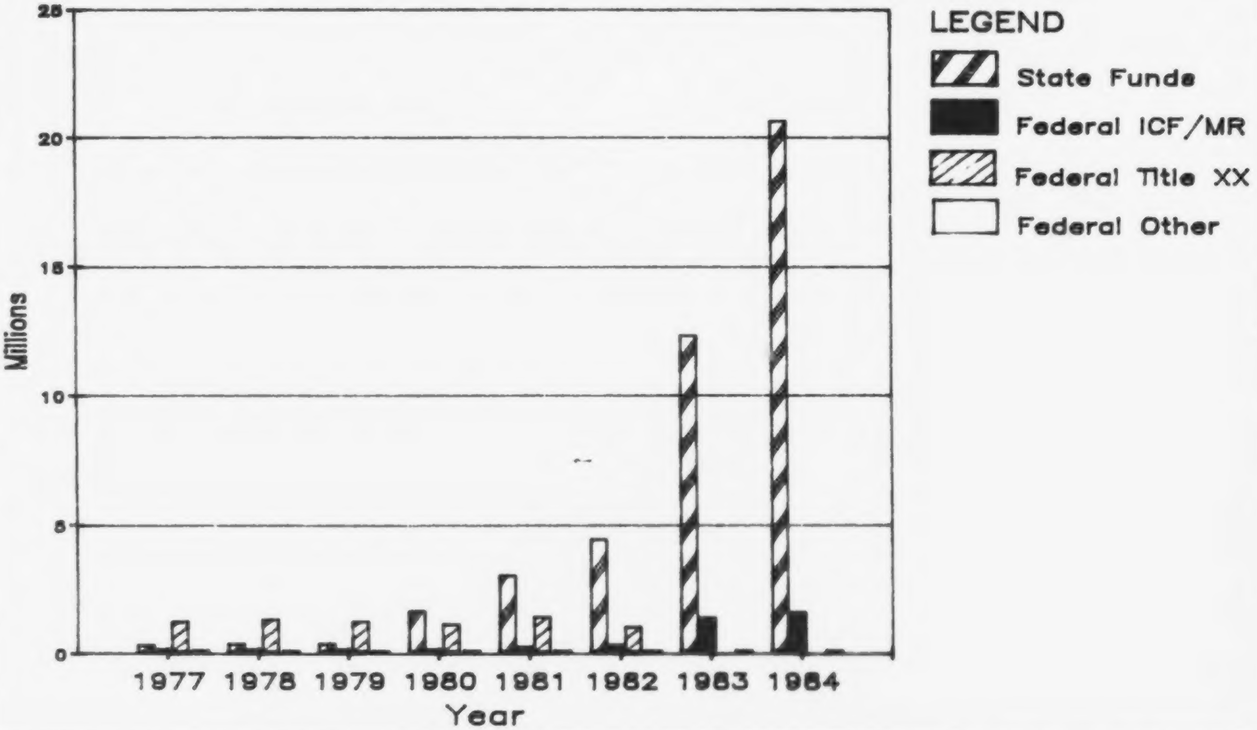
FY 1977–1984, *In 1977 Dollars*



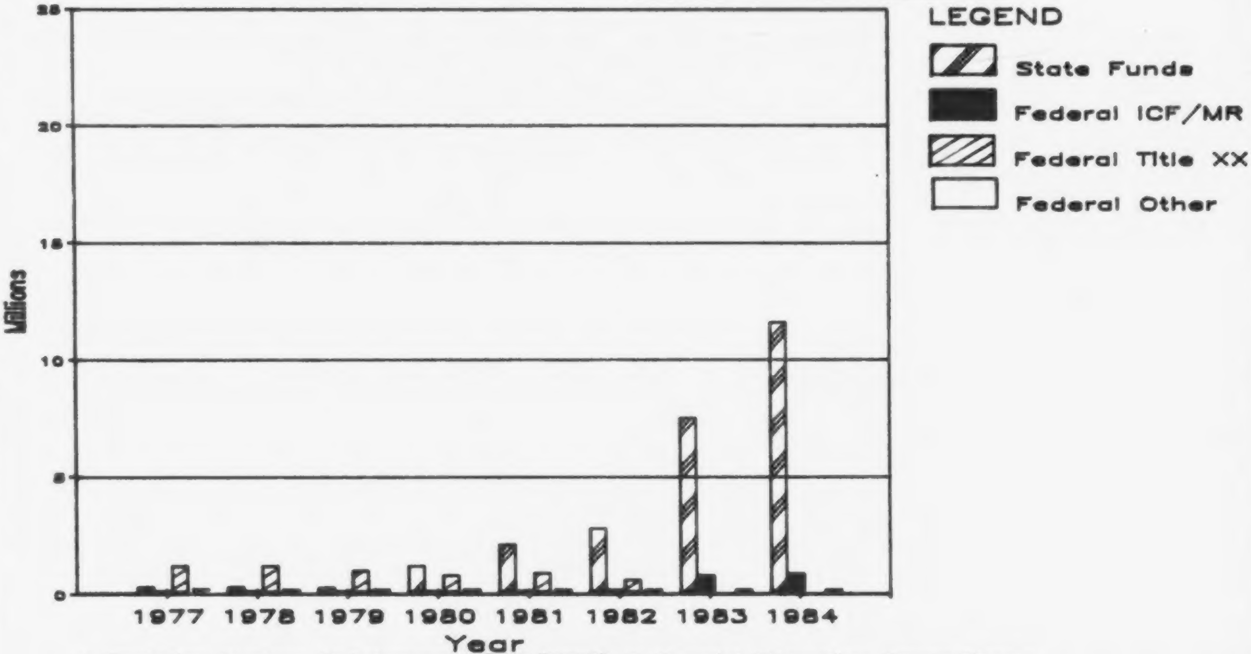
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



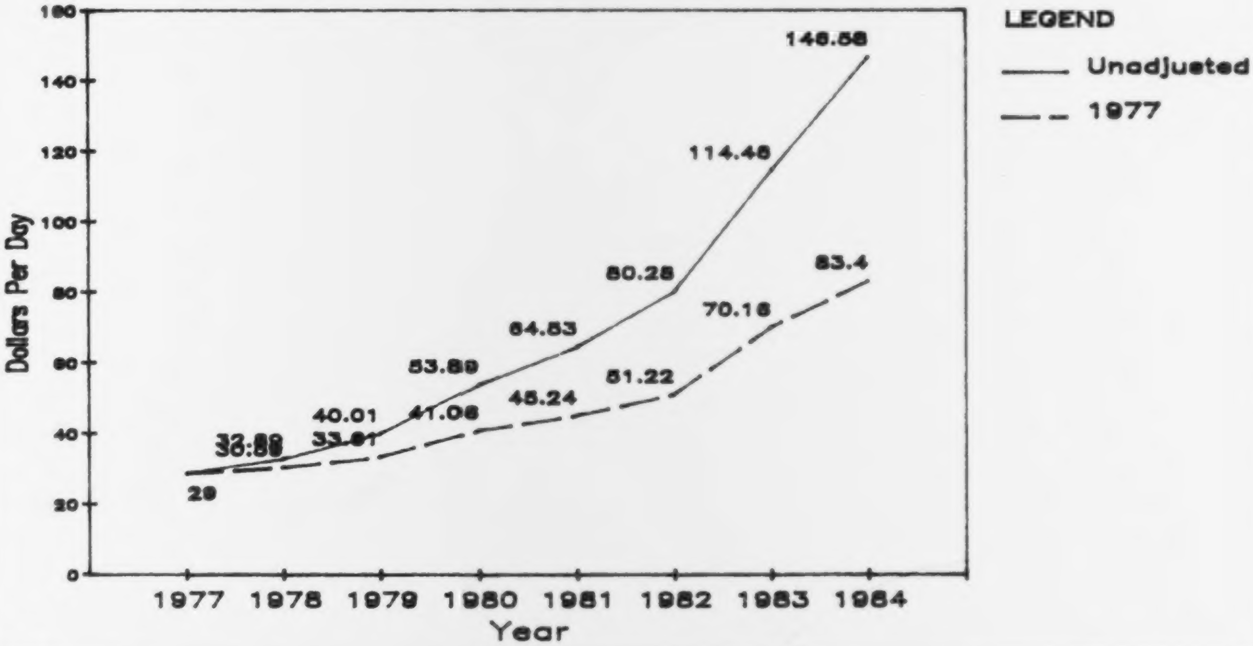
FY 1977–1984, *In 1977 Dollars*



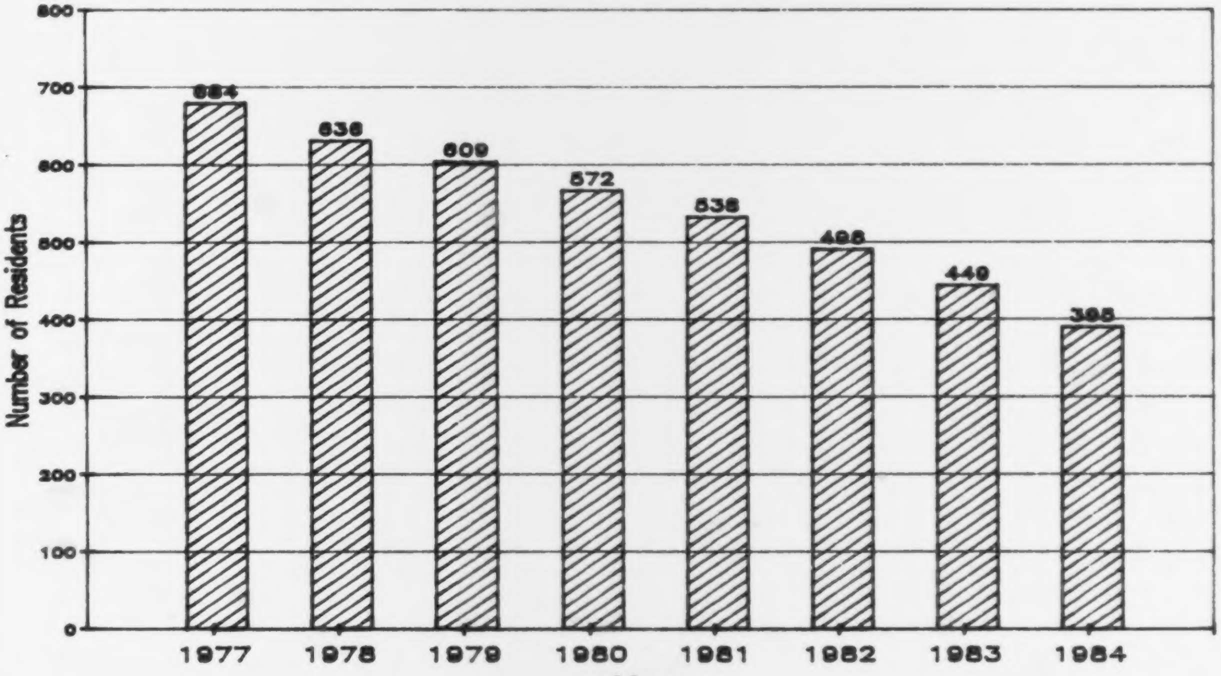
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW HAMPSHIRE

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: New Hampshire's community and institutional services are managed by the Office of Developmental Services, within the Division of Mental Health and Developmental Disabilities. This Division is within the Department of Health and Welfare.

2. Budget Format: The budget documents did not provide the funding source breakdown necessary for our analysis. Community services apparently consisted of "Administration: Office of MR" (FY `77-`79) and "Administration: Community Developmental Services" (FY `80-`83); however, the amounts from Federal fund sources were not clear.

3. Note on Data Sources: The State of New Hampshire Budgets were reviewed for the FY `77-`79, FY `79-`81, and FY `81-`83 biennia. These budget documents provided expenditure figures categorized as "adjusted authorization" for FY `77, FY `79 and FY `81; "actual" for FY `78 and FY `80; and "Governor's Recommended" for FY `82 and FY `83. As noted in #2 above, the Federal fund amounts could not be determined. Consequently, we contacted Mr. Donald Shumway, Deputy Director of Developmental Services. In his 9/1/83 correspondence, Mr. Shumway provided expenditure figures for Community and Institutional services operations. Shumway reported "actual" expenditures for FY `77-`83, and "appropriated" figures for FY `84.

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of Laconia State School expenditures, as reported in Shumway's 9/1/83 correspondence.

The "average daily census" figures for Laconia are:

FY 1977 - 684
FY 1978 - 636
FY 1979 - 609
FY 1980 - 572
FY 1981 - 538
FY 1982 - 496
FY 1983 - 449
FY 1984 - 395

(Source: Carol Drew, Division of MH/DD, phone interview, 6/27/84)

III. COMMUNITY SERVICES

4. Community Services consists of the expenditures reported in the 9/1/83 correspondence of Shumway; and, in addition, figures provided by the Department of Social Services, and from the budget documents (see Notes 6 and 7 below).

5. Title XIX consists of the Federal ICF/MR funds reimbursing community-based state-operated Intermediate Care Facilities for the Mentally Retarded. (The state matching funds are included in our Community Services General Fund line). The Division received notification on 9/13/83 from the Health Care Financing Administration (HCFA), approving Federal reimbursement under the Community Care Waiver, and Shumway in a 9/14/83 telephone interview indicated that implementation was expected in FY 1984. No projections of Federal revenue associated with the Waiver are included at this time in our analysis, however.

6. Title XX. Federal expenditure figures were provided by Mr. Fred McMenemy, Department of Social Services, and Mr. John Fransway of that department (phone interviews, 9/19/83). The Department of Social Services administered the program (FY `77-`82), and the provision of Title XX services reimbursement for MR/DD clients terminated 9/30/82 when

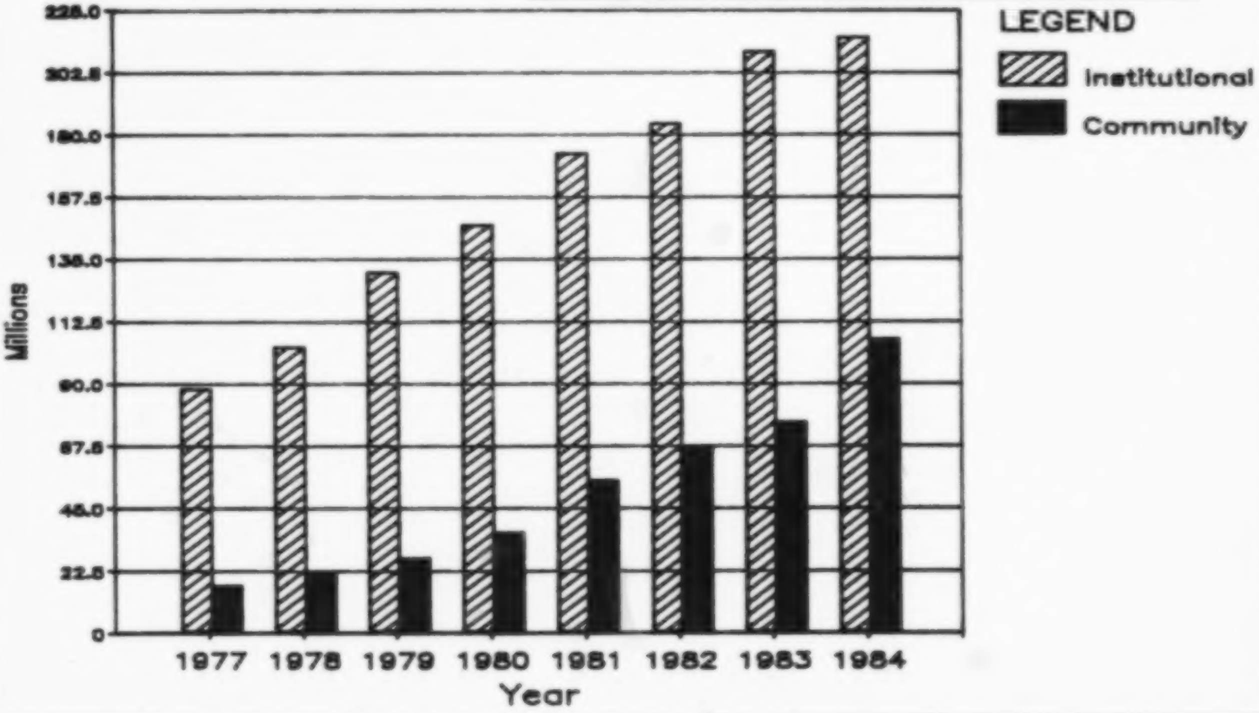
the funding for these services was assumed by the Division of MH/DD. The State's match for these Federal Funds is included within the Community Services General Fund figures in our analysis for FY `77-`82. Our FY `83 and `84 analysis figures reflect the Division's General Fund expenditures for the services previously supported by Title XX.

7. Other Federal Funds consists of expenditure figures reported in the budget documents as "Administration: DD Council." Since these figures were reported as DD Division expenditures, they are included in our analysis. The FY `84 figure is a staff projection, based on no growth in expenditures for the three preceding years.

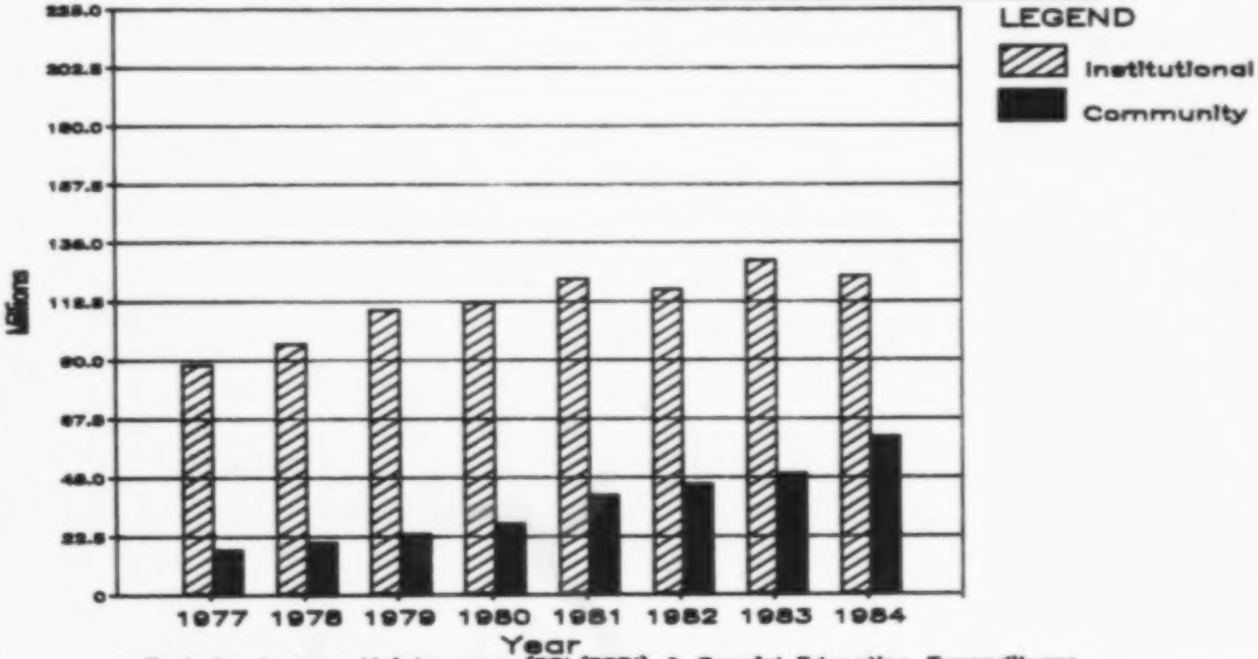
8. Private ICF/MR. The expenditure figures for Private ICF/MR were provided by Carol Drew, Division of MH/DD phone interview, 6/27/84. Drew provided the FY 1977-`84 cumulative ICF/MR expenditure figures (both Federal and State shares). At her recommendation, we utilized HCFA Federal/State match percentages each year, and also projected the annual ICF/MR expenditures by duplicating the Community Services' General Fund rate of growth. For example, the FY `80 Community Services General Fund is 3.9% of the cumulative eight year General Fund total; thus, the factor of .039 was applied to the eight-year Private ICF/MR total provided by Drew to arrive at the FY `80 Private ICF/MR expenditure. Then, the Federal/State match ratio (61:39) for FY `80 was utilized to identify Federal and State Shares.

NEW JERSEY
STATE PROFILE

NEW JERSEY
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

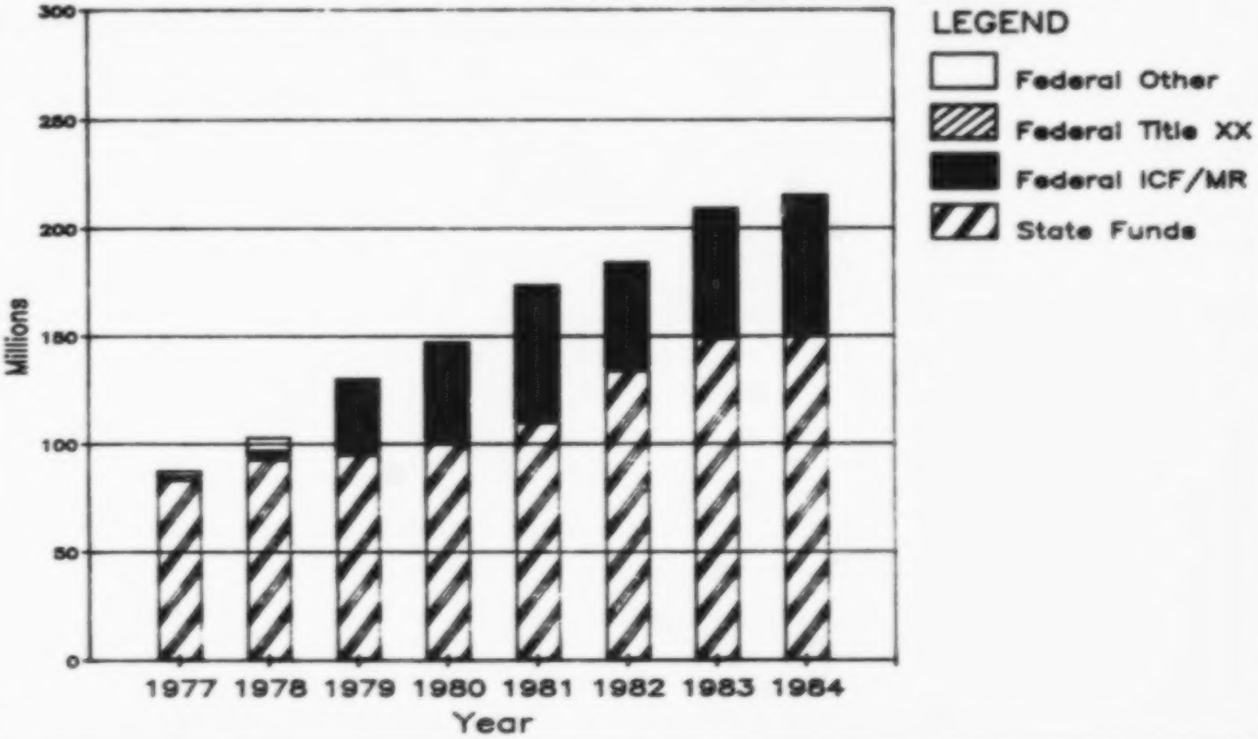


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

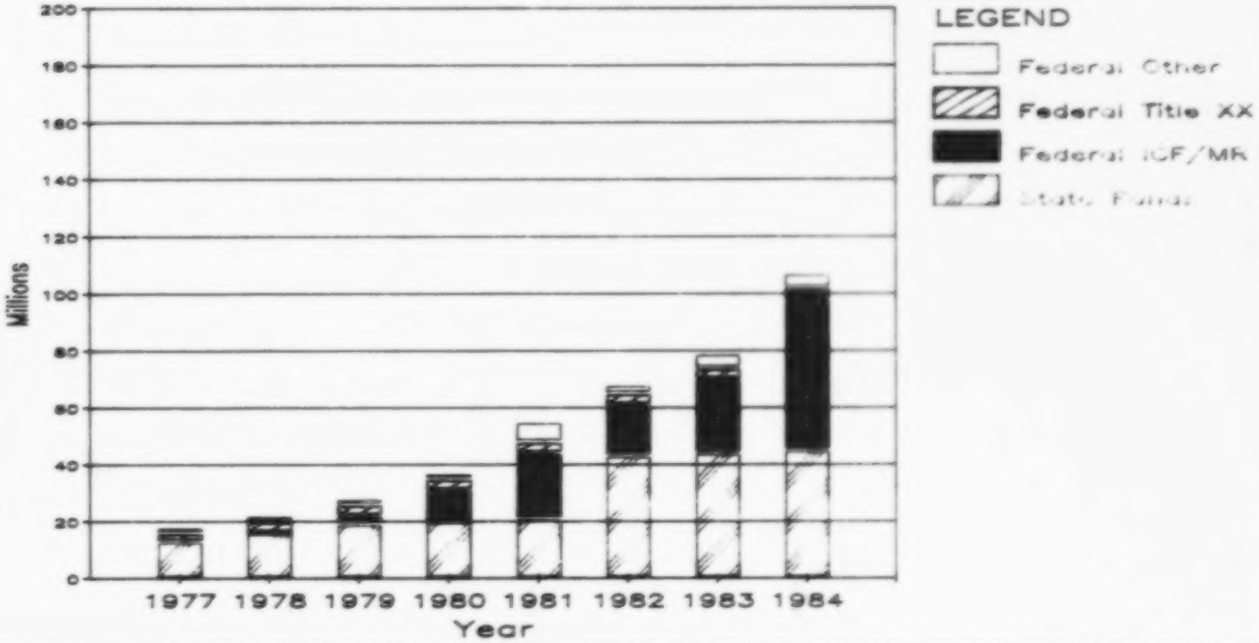
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

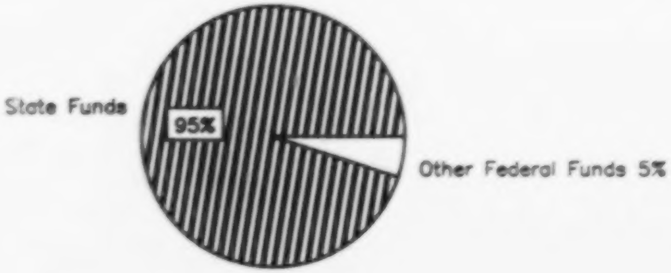


MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

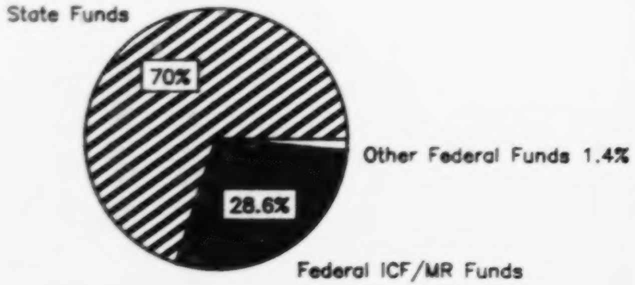


NEW JERSEY

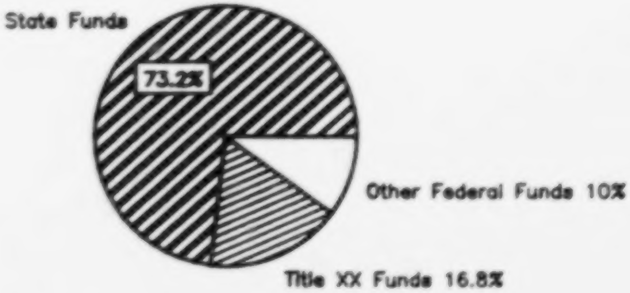
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



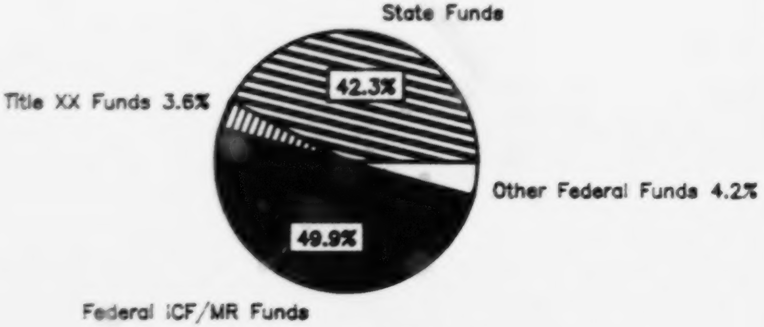
Institutional 1977: $89 Million



Institutional 1984: $216 Million



Community 1977: $18 Million

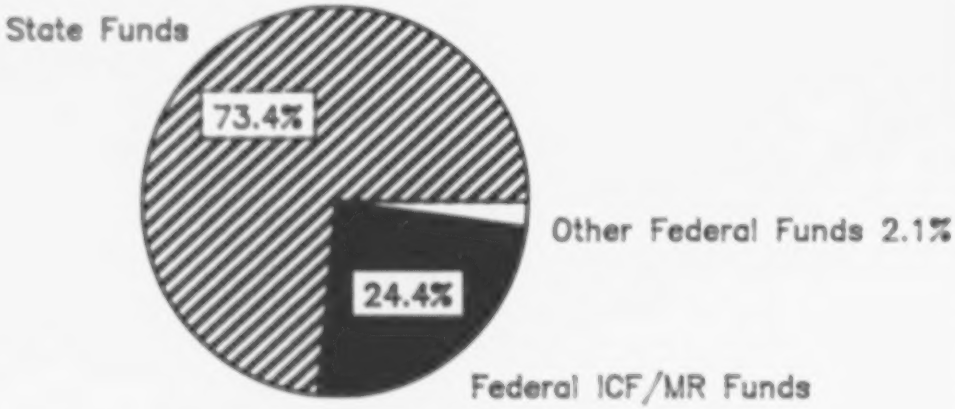


Community 1984: $107 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo. 1986

NEW JERSEY
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

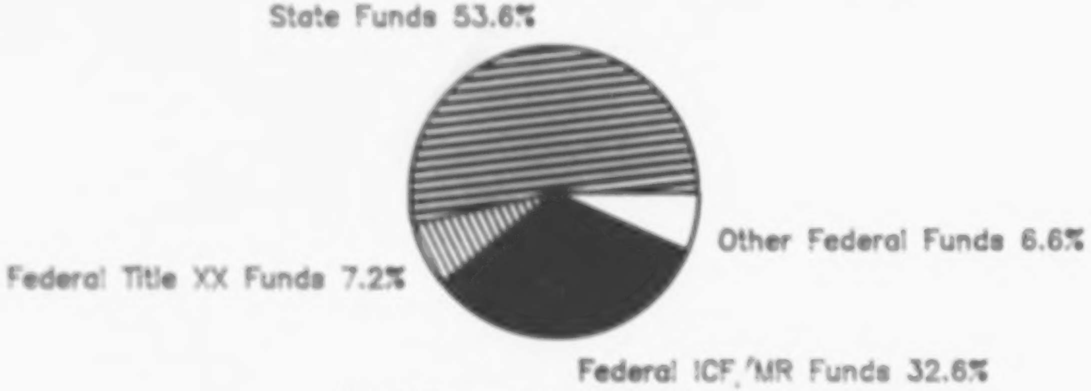
Institutional Services Funds



Total Institutional: $1.259 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



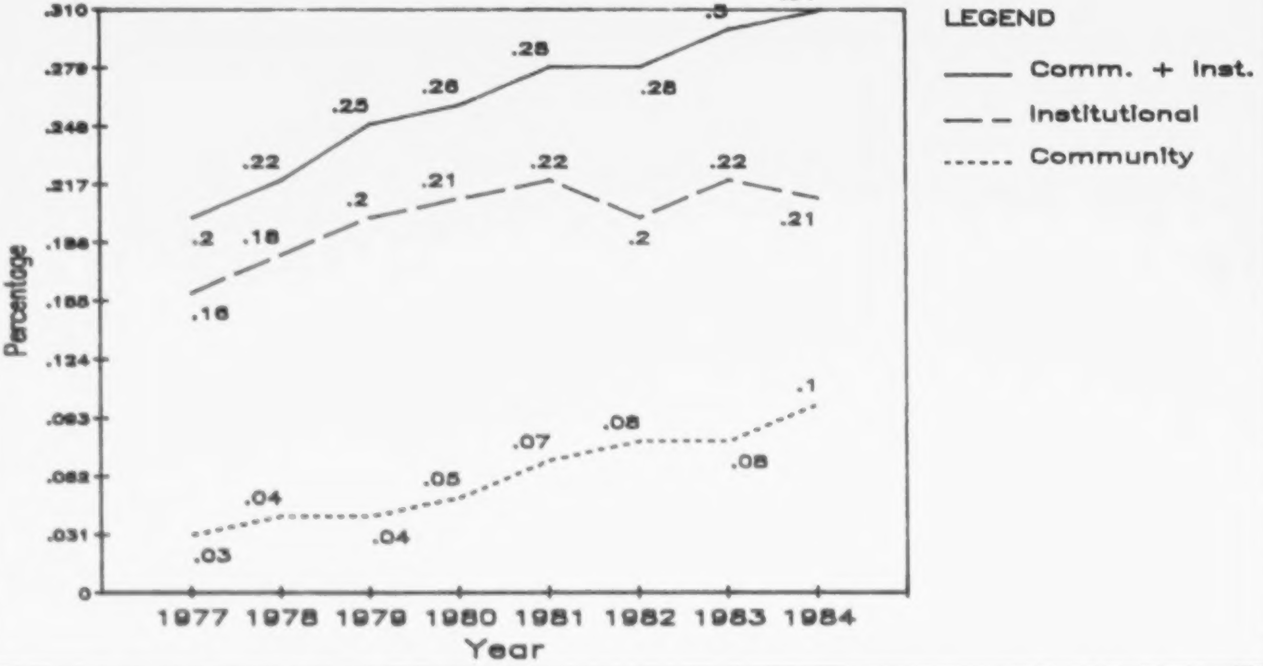
Total Community: $415 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY

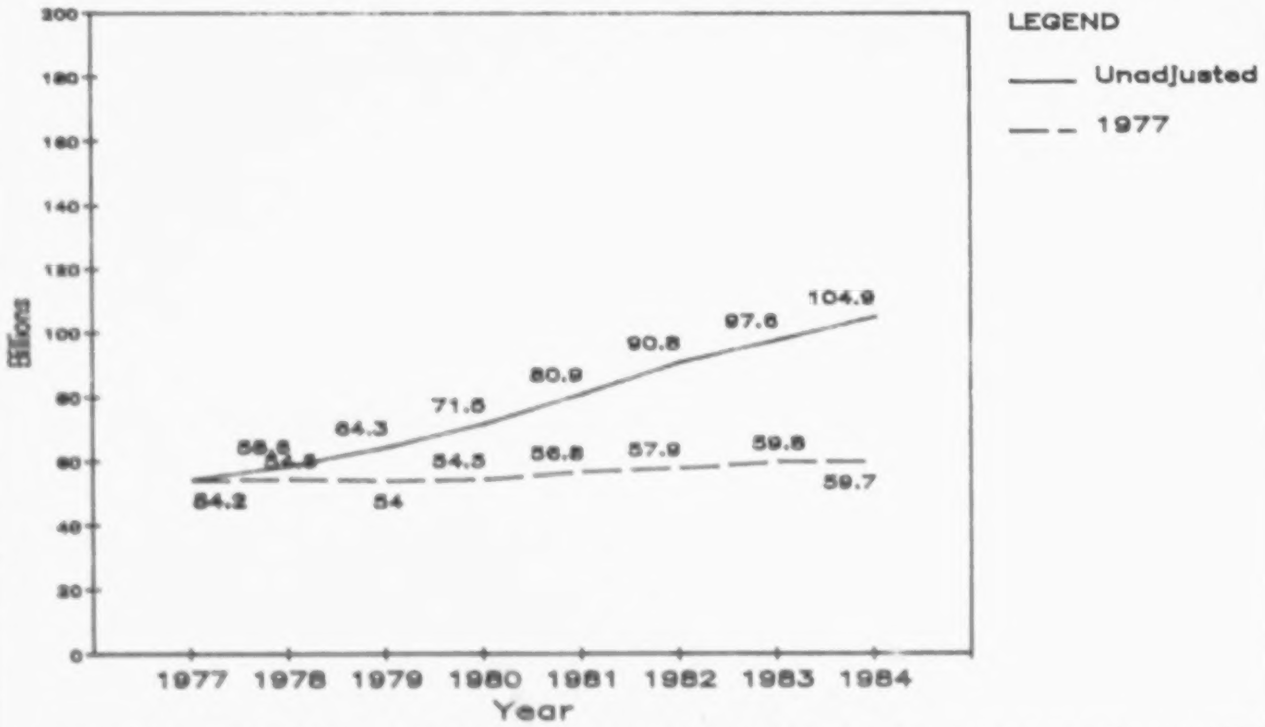
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

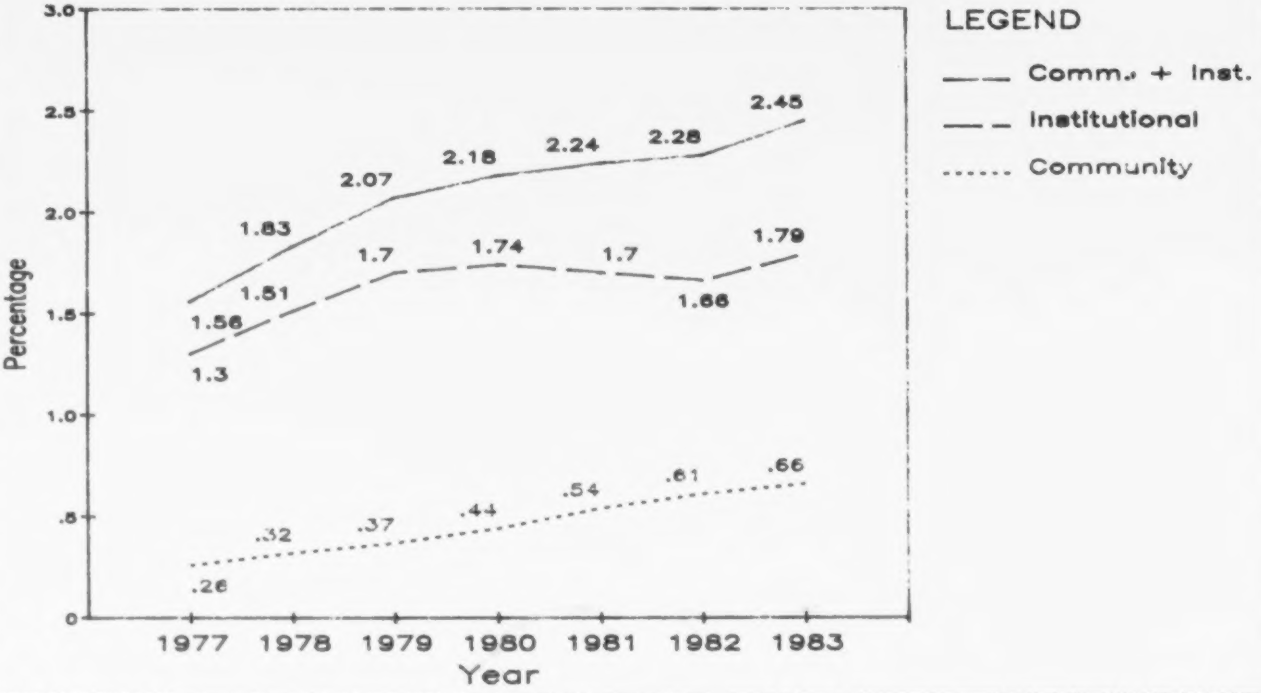
FY 1977–1984



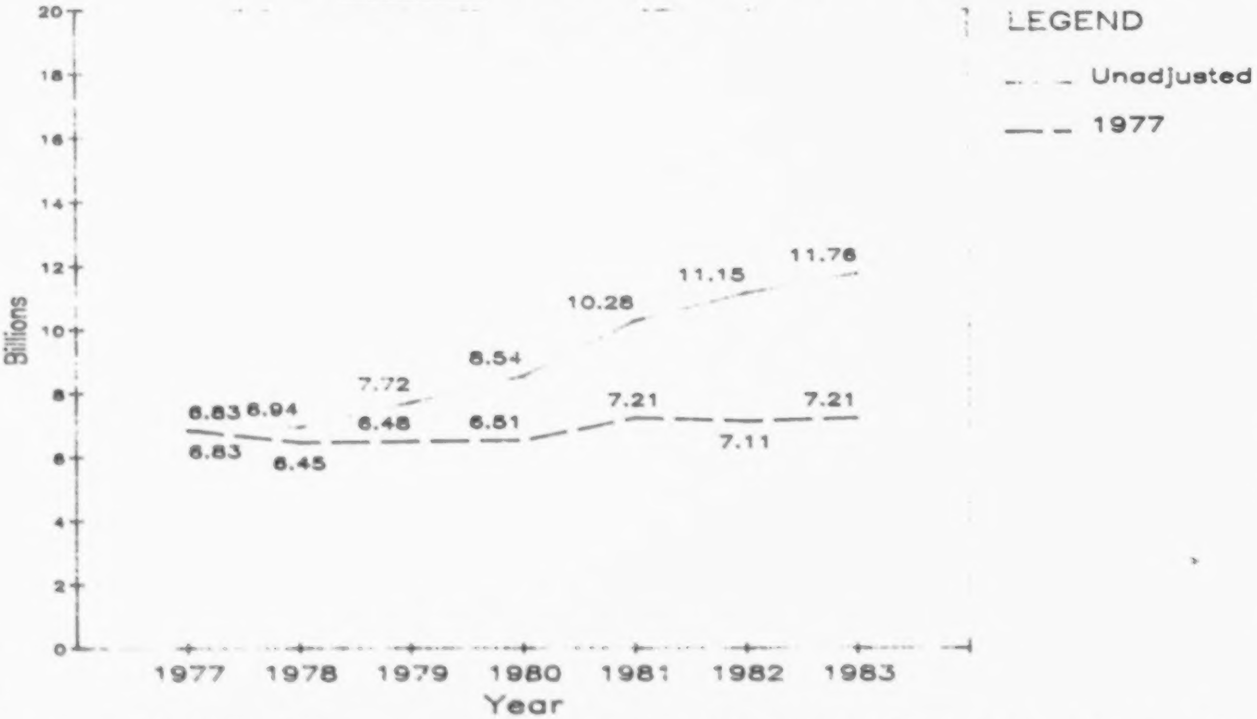
Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



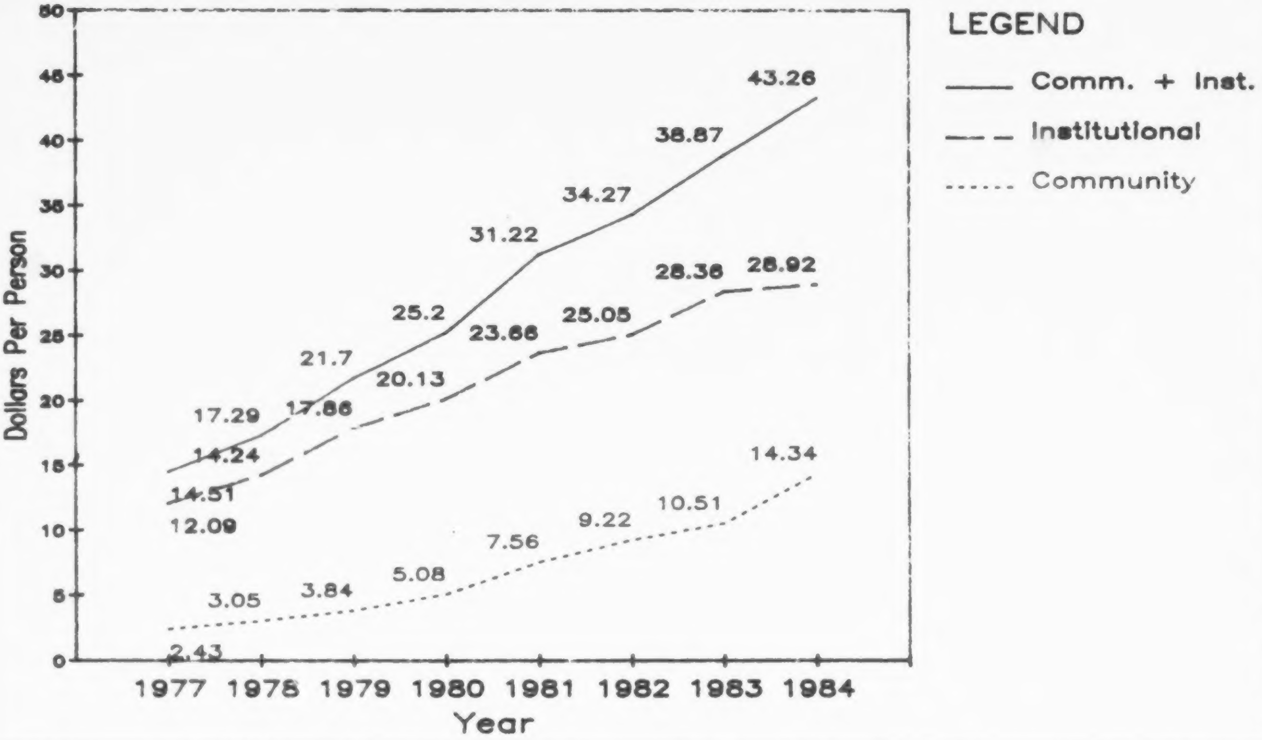
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



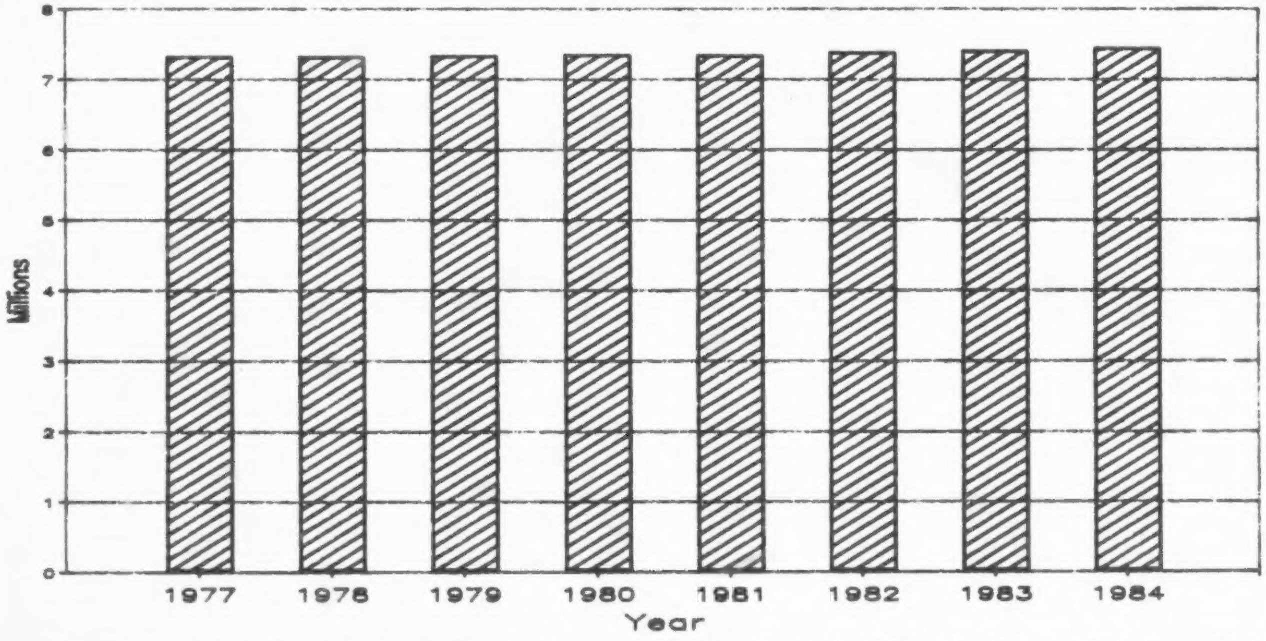
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

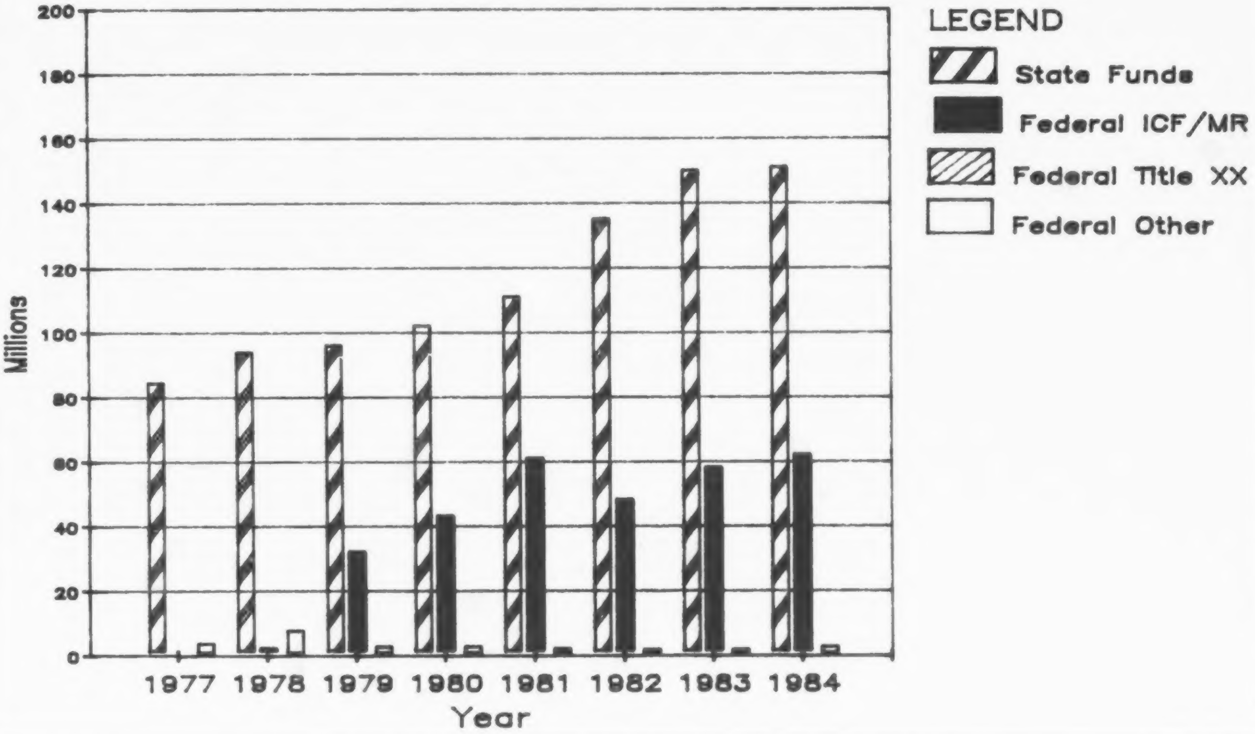


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

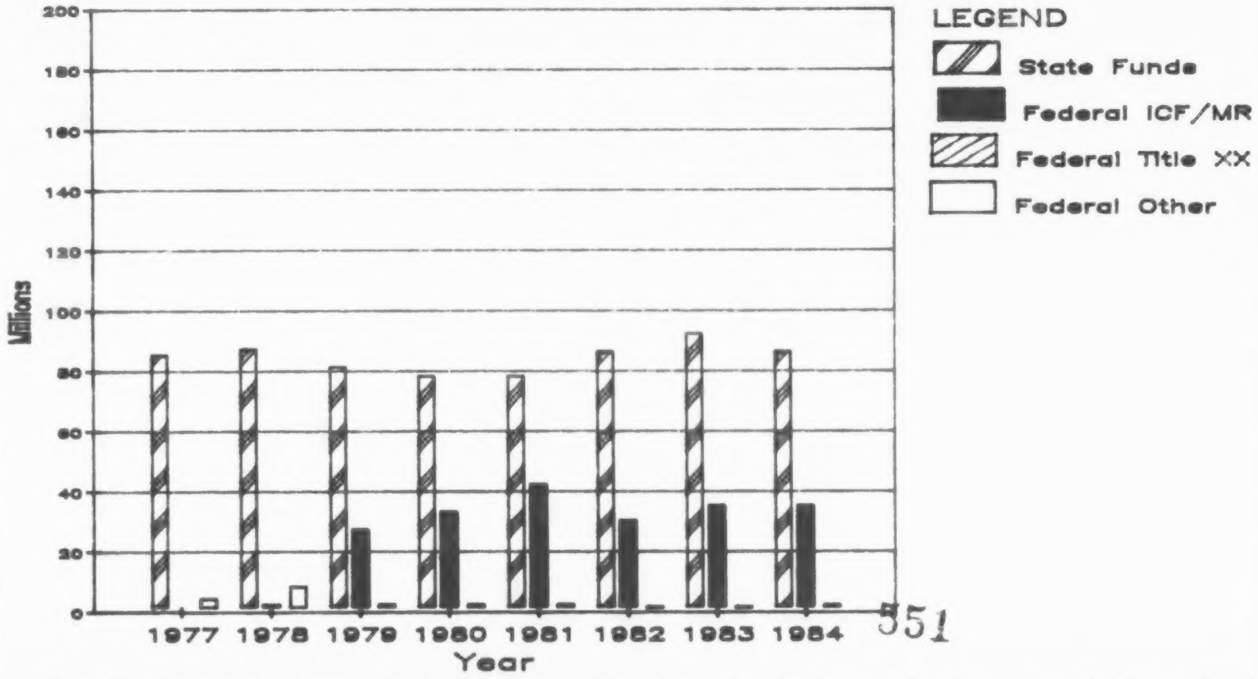
NEW JERSEY

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977—1984, *In Unadjusted Dollars*



FY 1977—1984, *In 1977 Dollars*

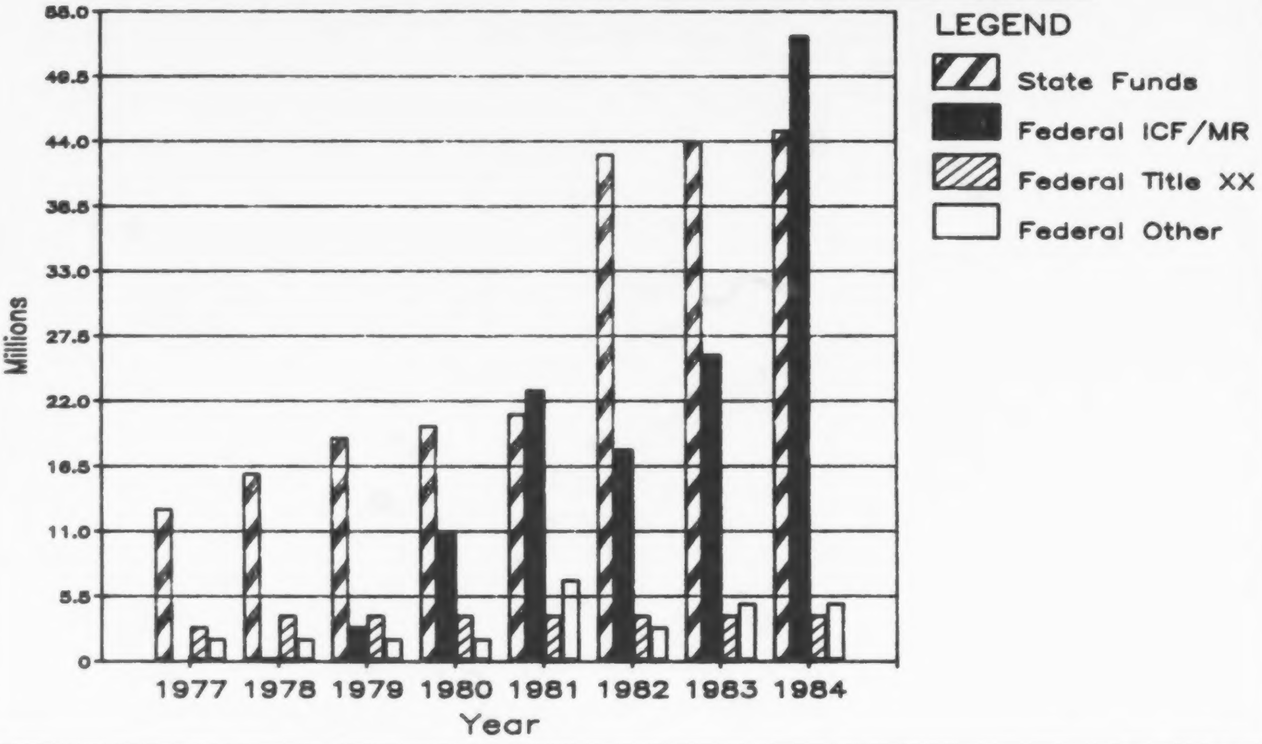


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

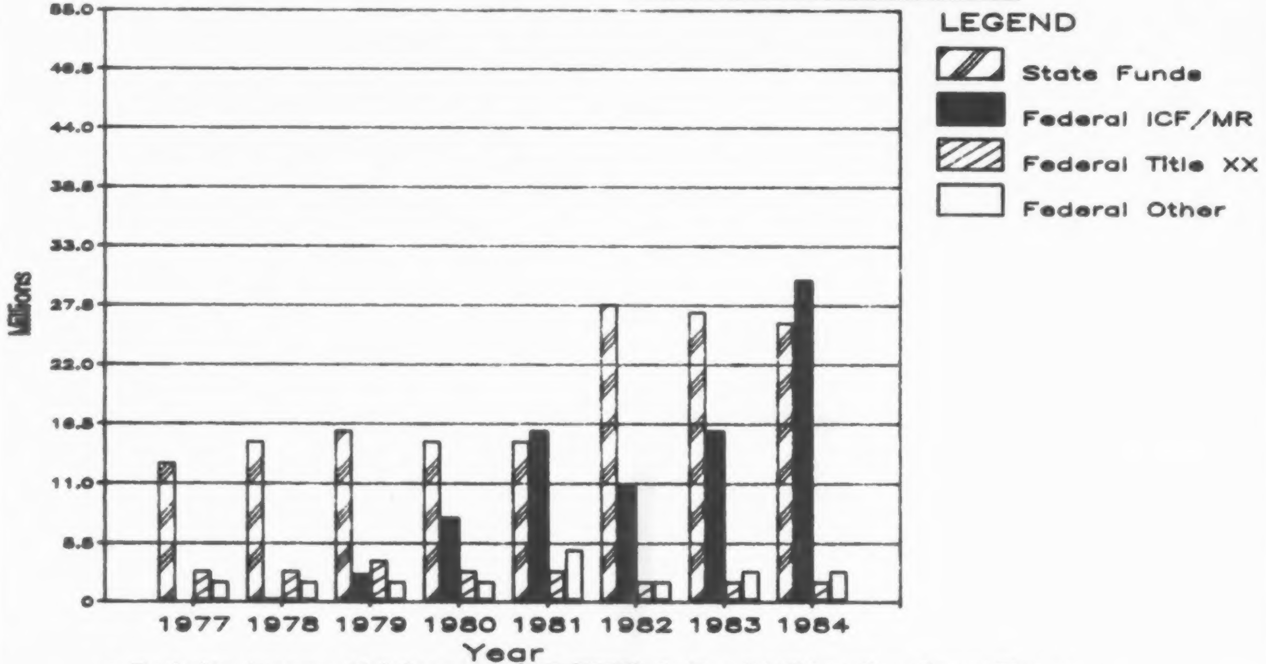
NEW JERSEY

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



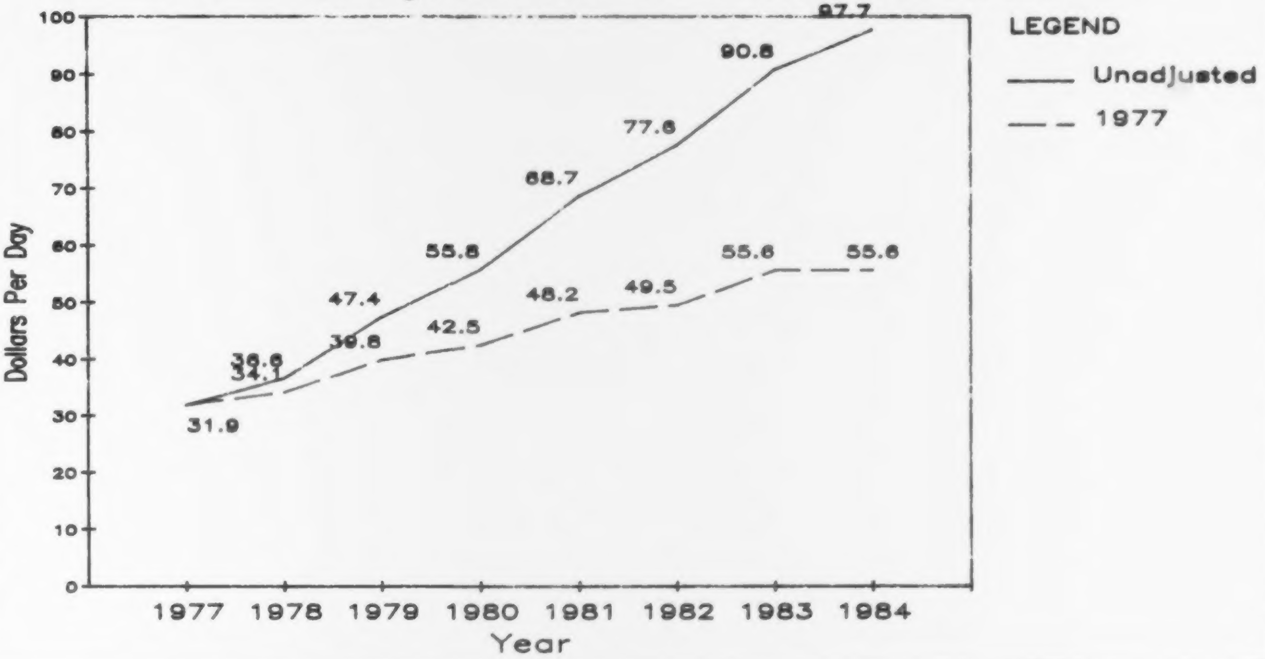
FY 1977–1984, *In 1977 Dollars*



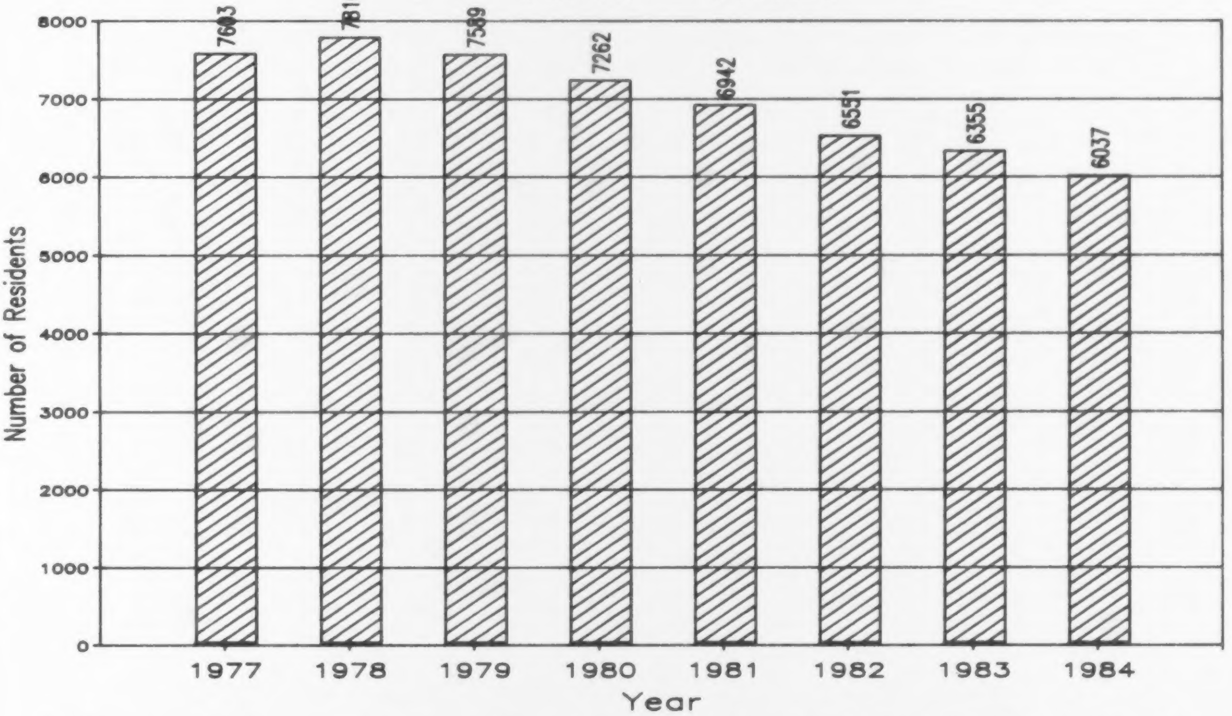
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW JERSEY

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: DD services are located in the Department of Human Services, Division of Mental Retardation.

2. Budget Format: Revenue and organizational categories presented in the State of New Jersey Budget exhibit the following classification format:

Department of Human Services
Division of Mental Retardation

Residential Functional Services
Vineland State School (and eight other institutions, each listed separately)
Operating Data (average daily population, etc.)
Position Data (staff positions by program)
Program Elements
Resident Care and Habilitation
Health Services
Education and Training
Institutional Administration and Support Services
Total Appropriation (General State Fund Sources)
Distribution by Object (salaries, materials, maintenance, etc.)
Capital Construction
Federal Funds (listed by specific program, e.g. Title XIX, Title I, etc.)
Grand Total

Other Agency Services
Division of MR
Operating Data
Position Data
Program Elements
Purchased Residential Care
Social Supervision and Consultation
Adult Activities
Education and Day Training
Management and General Support
Total Appropriation
Distribution By Object (salaries, etc.)
Capital Construction
Federal Funds (Title I, Title XX, etc.)
All other Funds (CETA, Title II, state education, etc.)
Grand Total

3. Note on Data Sources: Figures are actual expenditures from the annual State Budget documents for Fiscal Years 1979, `81, `82, `83 and `84. Fiscal Year 1984 figures are Governor's recommended amounts. According to William Oudenne, Division of MR (telephone, 9/1/83), there was very little change ($200,000 total for the Division) in the Governor's FY 1984 recommendation compared to actual Legislative appropriations.

In New Jersey, employee fringe benefits for all state employees are carried in one central budgetary account rather than being distributed to the various program budgets. To facilitate comparability with other states, an amount for fringe benefits was estimated and added to the budget document figures. Jack Gelczis, Fiscal Services Administrator, Division of MR (letter, 10/18/83) provided the salary portions of expenditures for each year and the percentage of salaries which represents fringe benefits. This information enabled us to estimate the fringe benefits which range from $12,298,000 in 1977 to $37,853,000 in 1984. These sums have a significant bearing on the calculation of New Jersey's per diem expenditures for institutional and community services operations.

Expenditures are for operating costs only non-reimbursed major capital construction expenditures, as detailed in the Budget documents, have been analytically removed from the State General Fund lines in our analysis. However, "Maintenance, Supplies and Fixed Charges" as well as "Additions and Improvements" which are not major construction, but rather for more routine maintenance, are included.

II. INSTITUTIONAL SERVICES

4. Institutional Services includes expenditures at the eight state development centers, and since May of 1981, the Green Brook Regional Center which is being used temporarily to house 118 Geriatric MR clients to allow the other centers to comply with ICF/MR standards. The eight centers are: Vineland, North Jersey Training School at Totowa, Woodbine, New Lisbon, Woodbridge, Hunterdon, Edward R. Johnstone Training and Research Center and the New Jersey Neuropsychiatric Institute. The aggregated average daily population at all centers combined is:

Fiscal Year	Average Daily Institutional Population
1977	7,603
1978	7,810
1979	7,589
1980	7,262
1981	6,942
1982	6,551
1983	6,355
1984	6,037

(Source: Budget Documents)

5. The Division is presently operating with a Medicaid Extended Phase-out Waiver. The Division originally planned to renovate a number of institutional beds, but agreed instead to reduce the number of beds as residents were moved out of the institutions into community placements. According to William Oudenne`s letter of 2/6/84, this results in the Division funding community placements from Title XIX funds earned for institutional placements. All Title XIX state matching funds remain in the Institutional Services General Fund category for the purposes of our analysis. Federal share ICF/MR reimbursements for community services under this Phase-out Waiver, however, were considered Community Services expenditures in our analysis (see Note 12).

6. Other State Funds increase substantially in FY `81 for "state facilities education." These are state funds from the State Department of Education to further supplement educational programs for developmentally disabled students.

7. Title XIX figures are from Jack Gelczis, Fiscal Services Administrator (letter, 10/18/83). There were no Title XIX figures reported in the Budget for FY 1977 or 1978. William Oudenne, Division of MR (telephone, 9/1/83), said Hunterdon State School was the only institution certified in `77 and it collected $431,440, though the money was not actually expended until FY `78. (To the contrary, the Health Care Financing Administration in Baltimore, MD, using the HCFA Form 20-82, reports gross ICF/MR expenditures for New Jersey in `77 and `78 of $49,744,000 and $65,213,000 respectively.) We used the Gelczis' figures. Mr. Oudenne, in his letter of 2/6/84, noted that the HCFA figures might represent the amount that was billed for eligible clients even though the Division did not start spending the funds until FY `78.

8. Other Federal Funds are primarily for education (ESEA, Title I/Chapter I) and health services.

III. COMMUNITY SERVICES

9. Community Services includes some expenditures for central state administration. Changes in accounting procedures as to which items were included in the administrative code over the eight-year period of this study make it impractical to attempt to exclude administration as we have done in the analysis of other states' budgets. For example, at times in the past, food services were reported as part of management and administration, according to Mr. Oudenne (telephone, 9/1/83). If we excluded the amount shown under the administrative code each year, we would be excluding different expenditure items in different years, sacrificing comparability internally. These administration amounts vary from $3.4 million in 1978 to $11.6 million in 1981, representing 5% of each year's total community-institutional MR budget.

10. State General Funds include the state matching share of Title XX funds. It does not include the state share of the Title XIX--see explanation in Note 5.

11. Other State Funds. The large increase in FY `81 is due to an influx of State Department of Education dollars for "day training education" to supplement the education programs for DD clients. Figures were obtained from the annual state budgets.

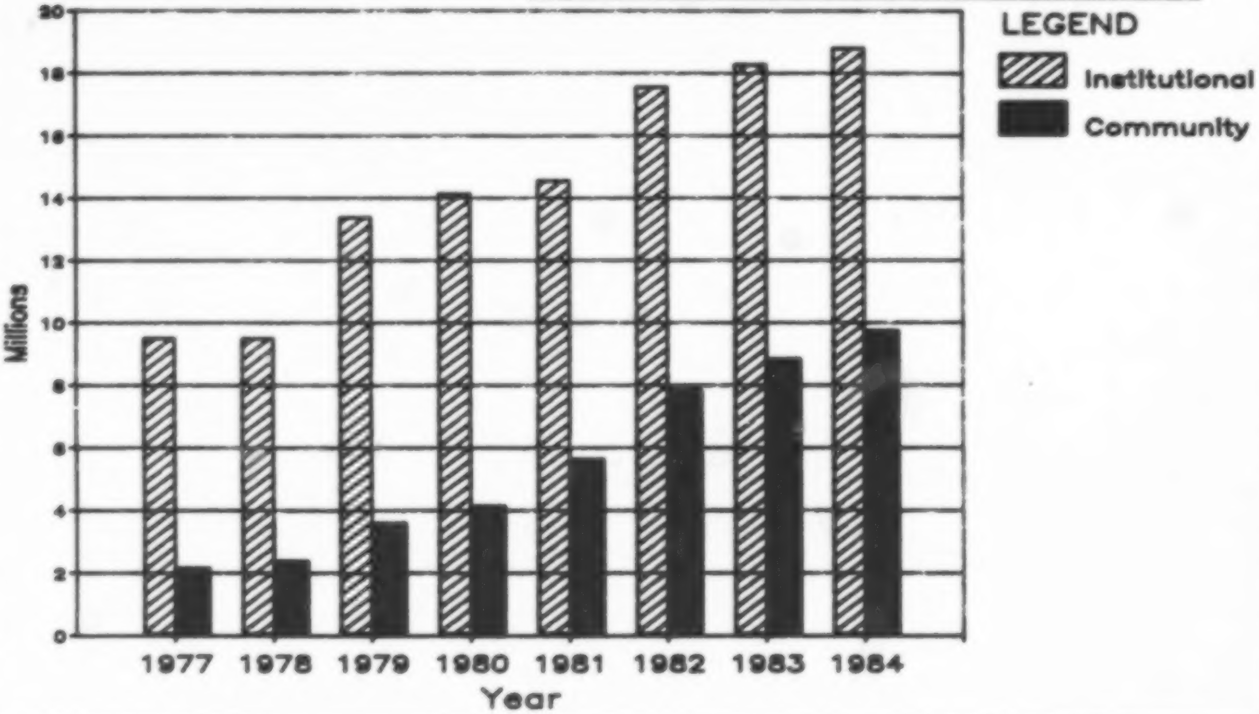
12. Federal Title XIX expenditures in this line support privately operated community placements which are generated by Title XIX reimbursements under an Extended Phase-out Medicaid Waiver at the state institutions (see Note 5 above), according to a letter from William Oudenne, 2/6/84. In addition, starting in `83, also included in this line are funds from the Community Care Waiver. In 1984, $14,328,749 of Community Title XIX revenues is for the Community Care Waiver (letter from William Oudenne, 2/6/84).

13. Other Federal Funds includes ESEA, Title I/Chapter I for education and day training, Developmental Disabilities Services Act, and other small federal grants.

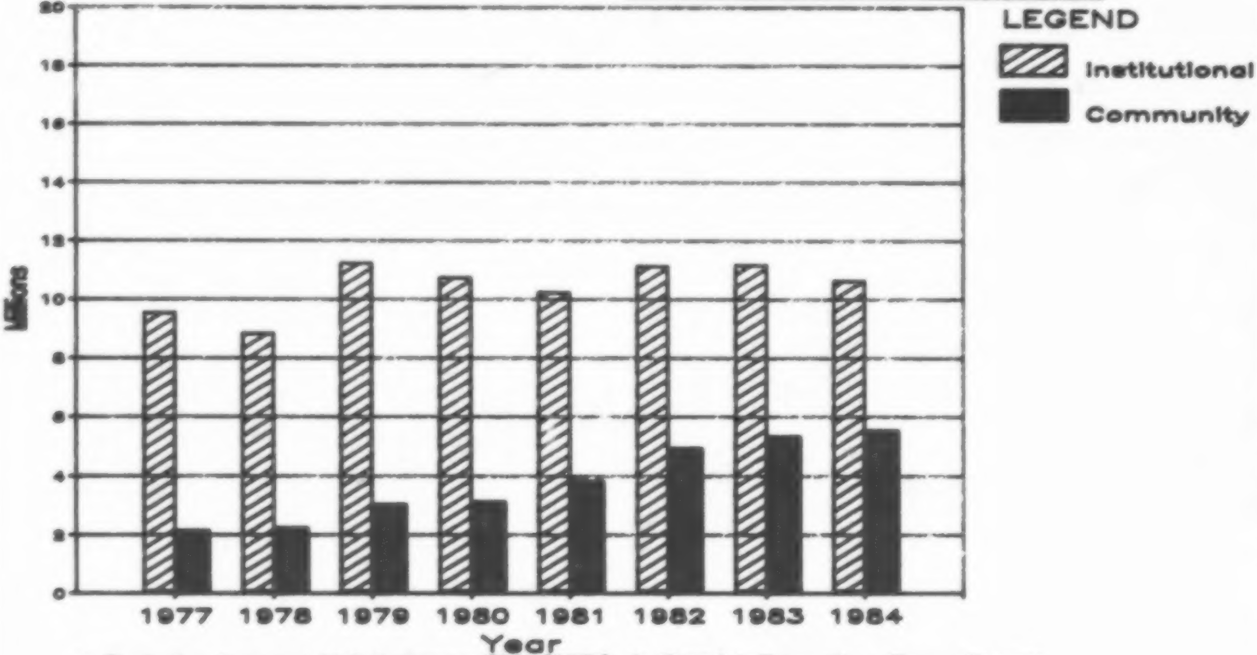
14. Private ICF/MR. There is only one private ICF/MR (20 beds, opened in FY `83). It is carried in the Medicaid Agency Budget (rather than the Division of MR budget). These figures are linear projections based on the first month's expenditure report from Ann Kohler, Division of Medical Assistance (telephone, 8/26/83).

NEW MEXICO
STATE PROFILE

NEW MEXICO
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

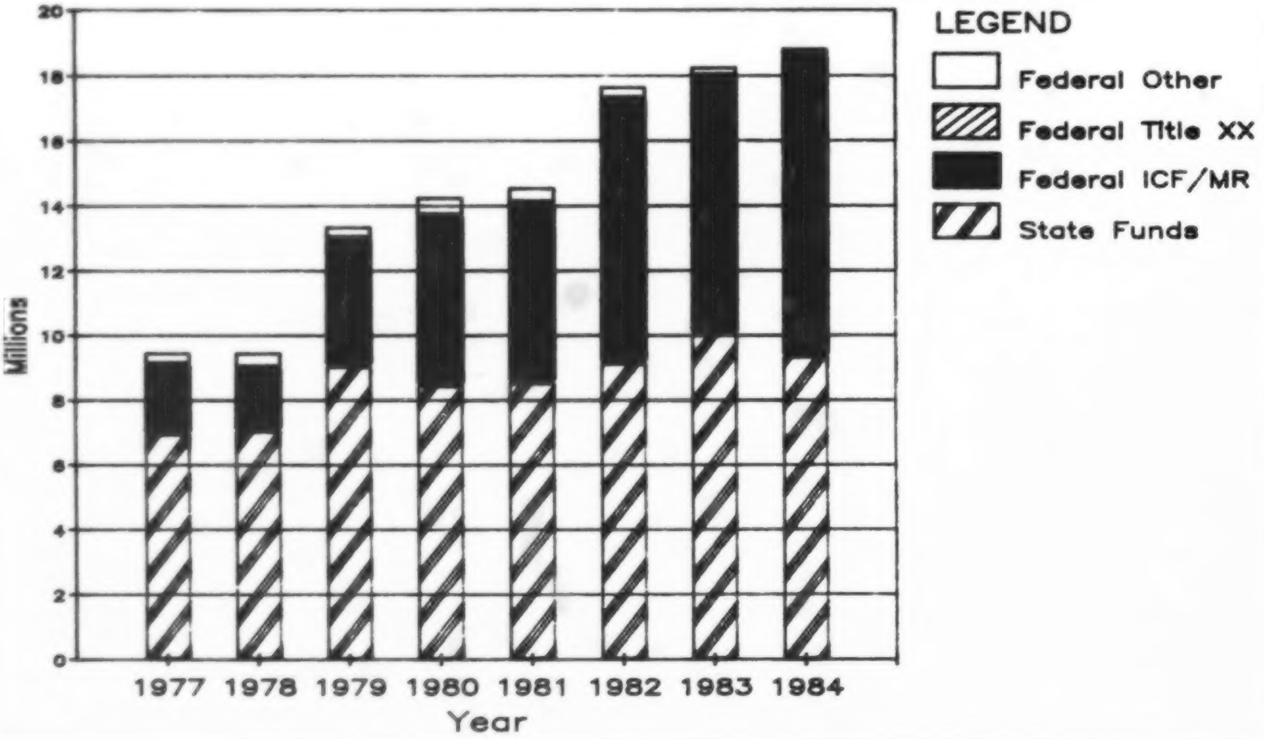


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

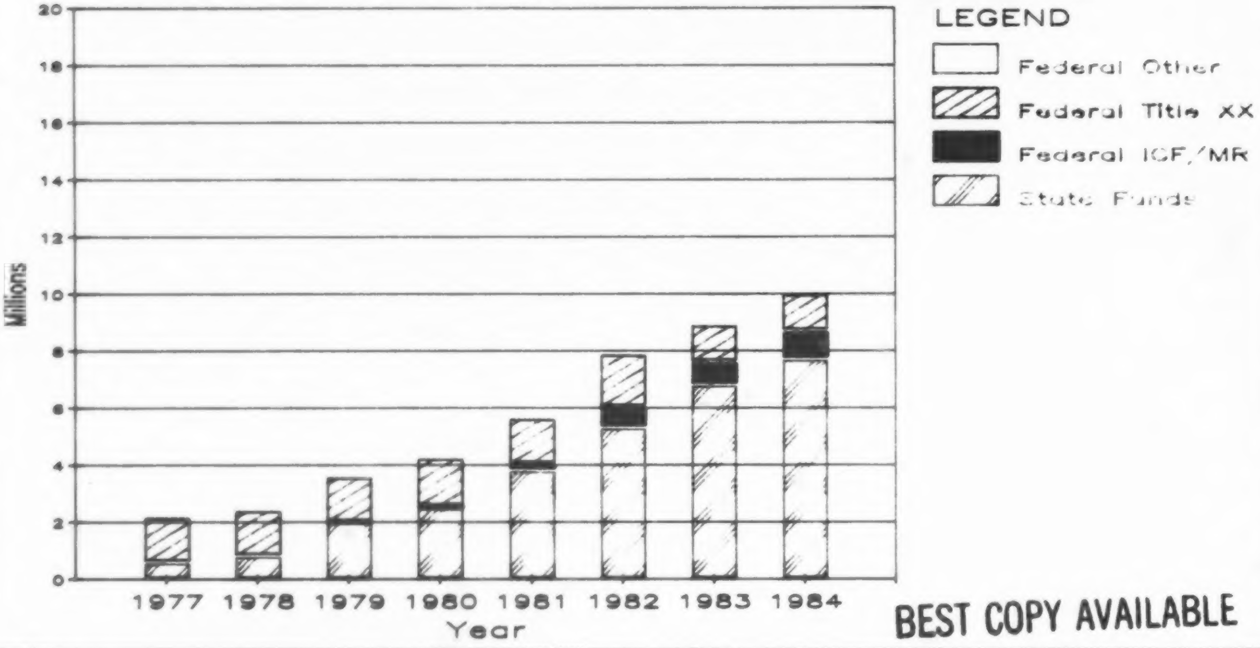
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



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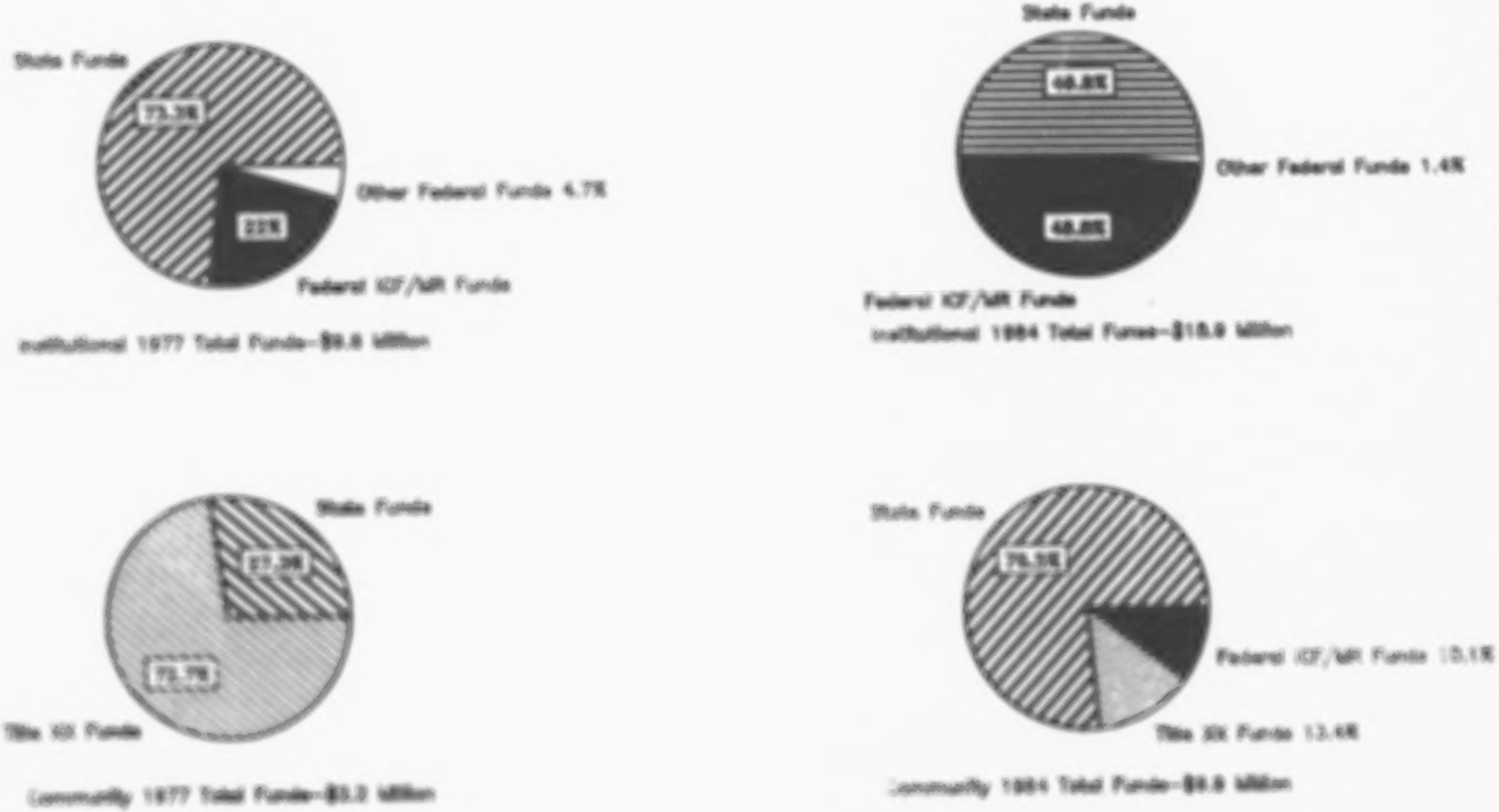
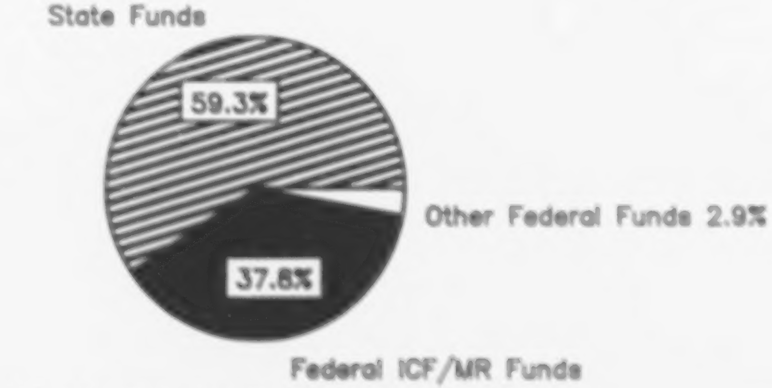
NEW MEXICO
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, IDD, U of IL at Chgo, 1984

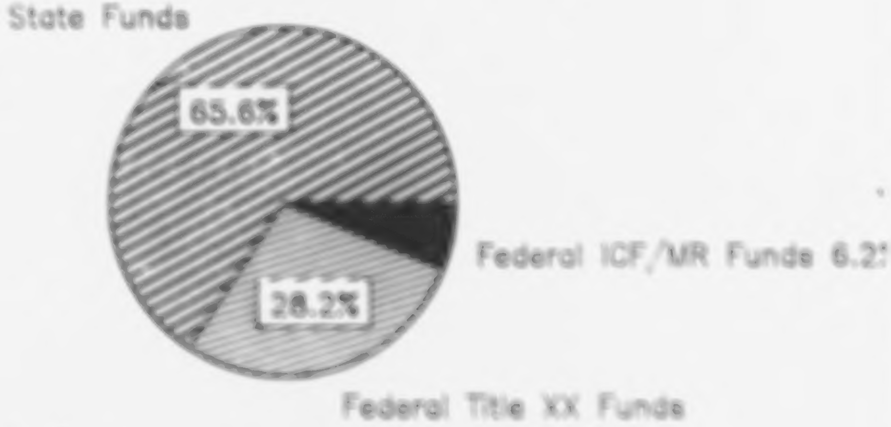
NEW MEXICO
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Funds: $116 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



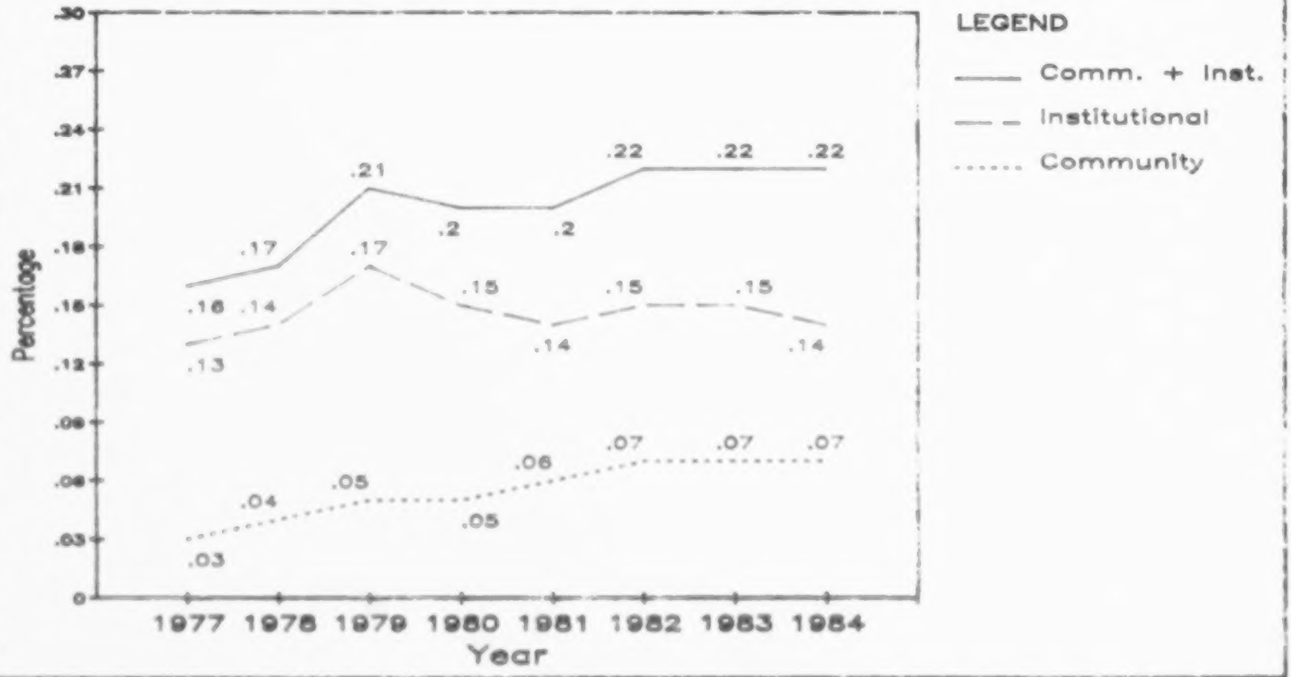
Total Community Funds: $45 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 198

NEW MEXICO

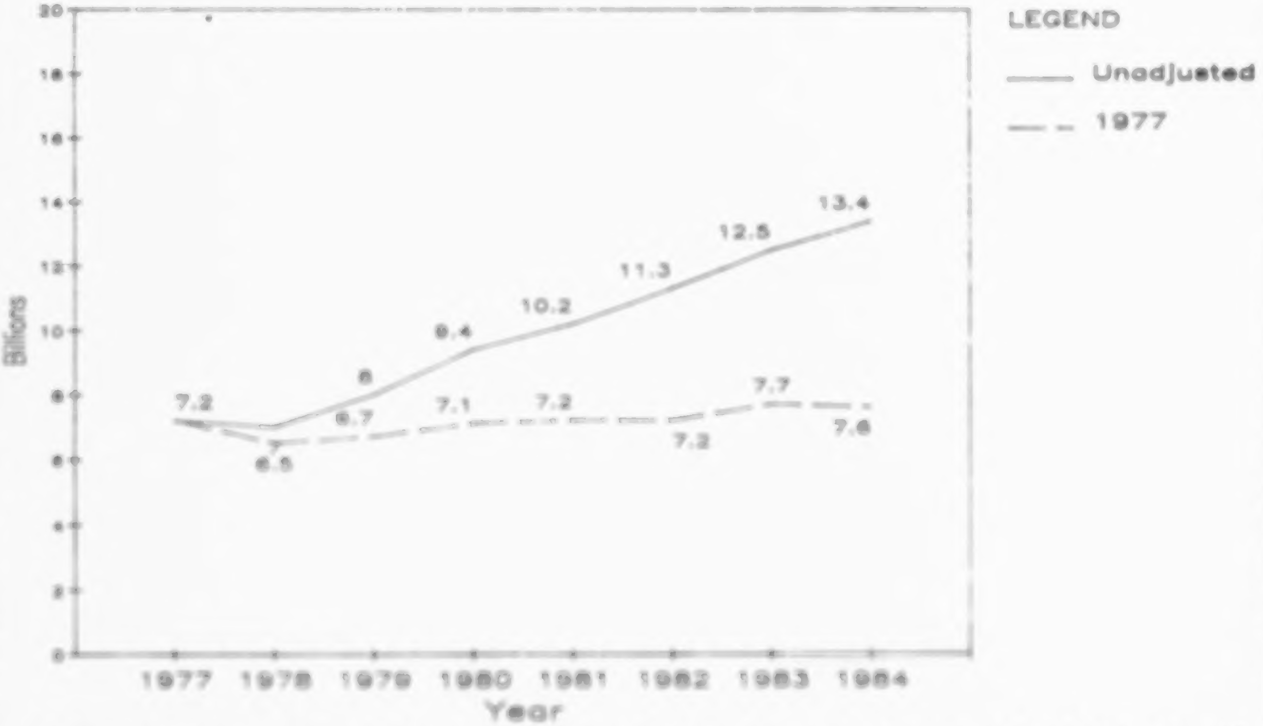
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977—1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

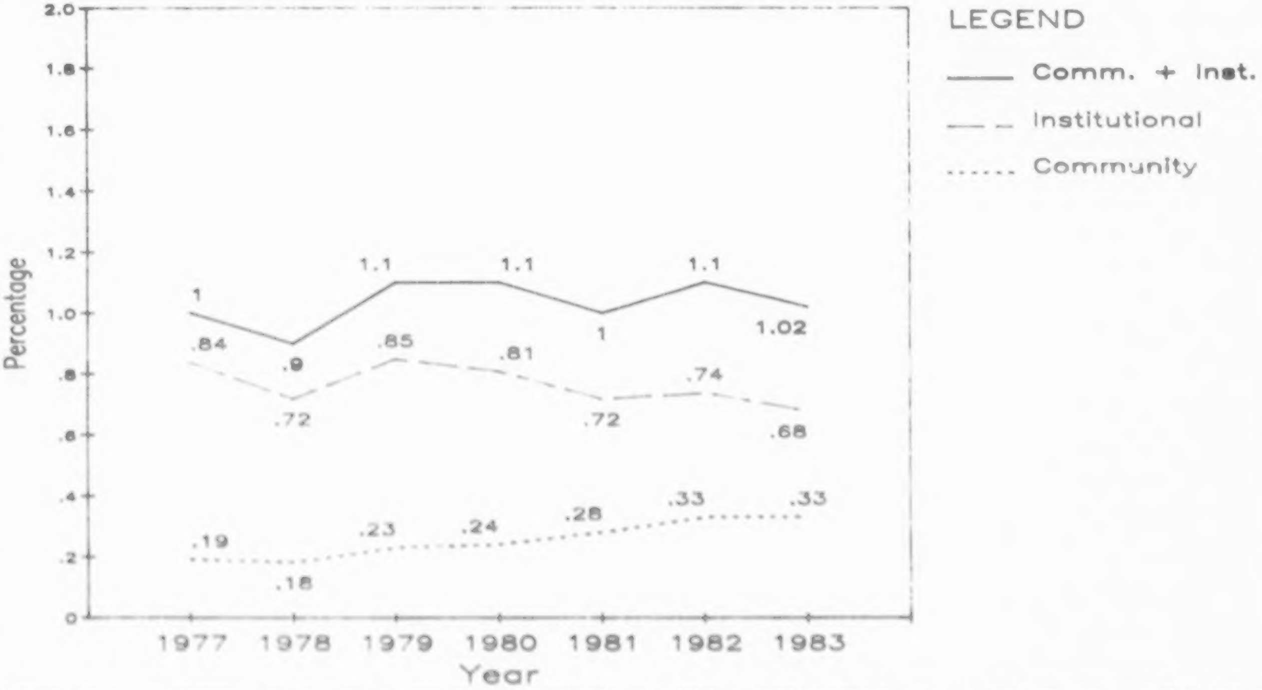
FY 1977—1984



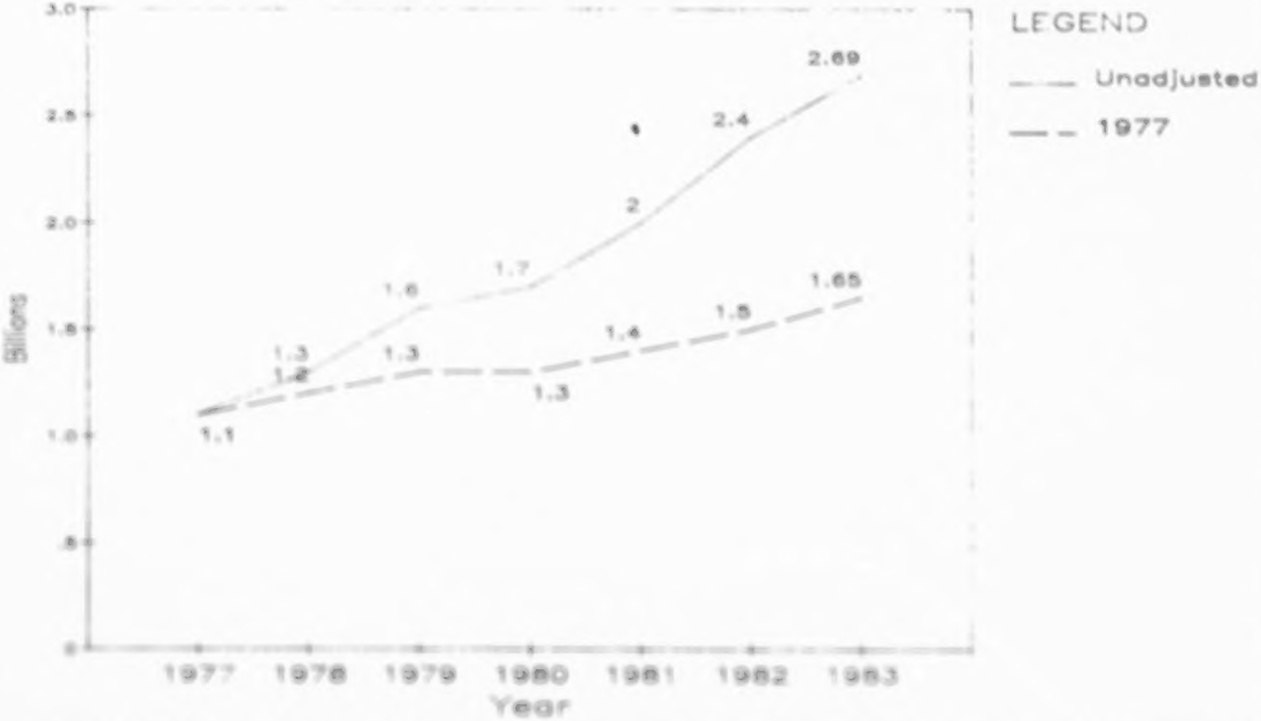
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



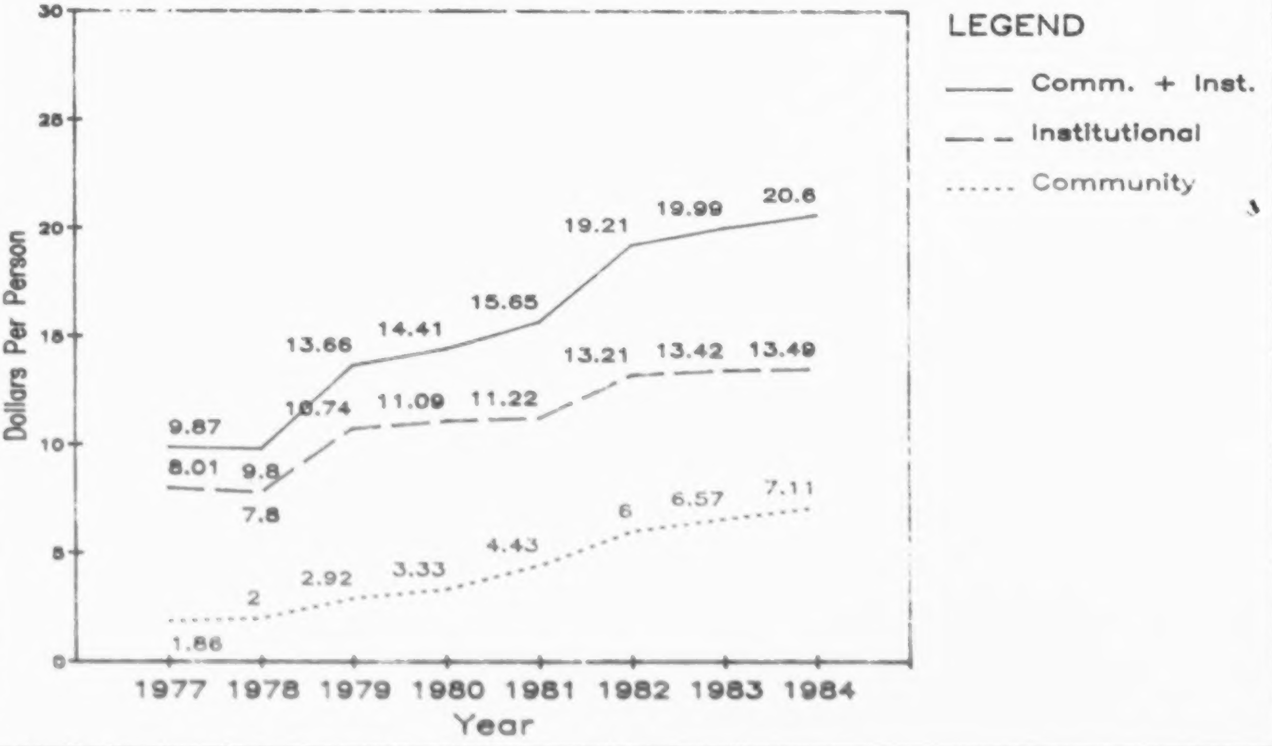
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



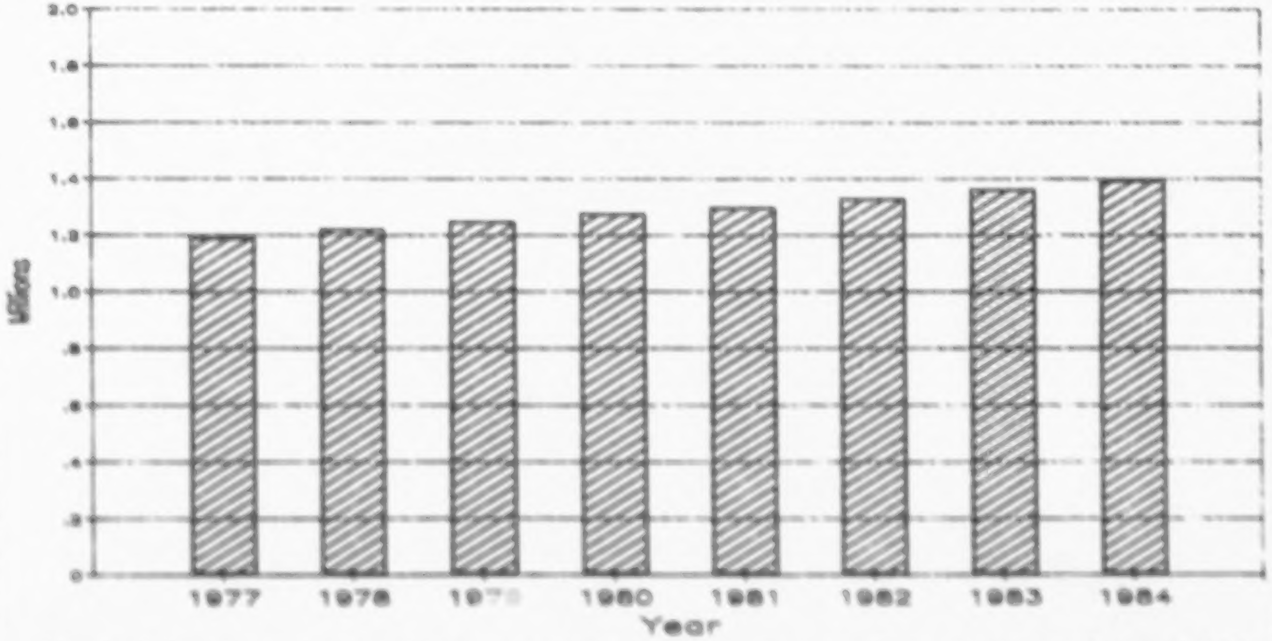
Source: Braddock, Hawes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



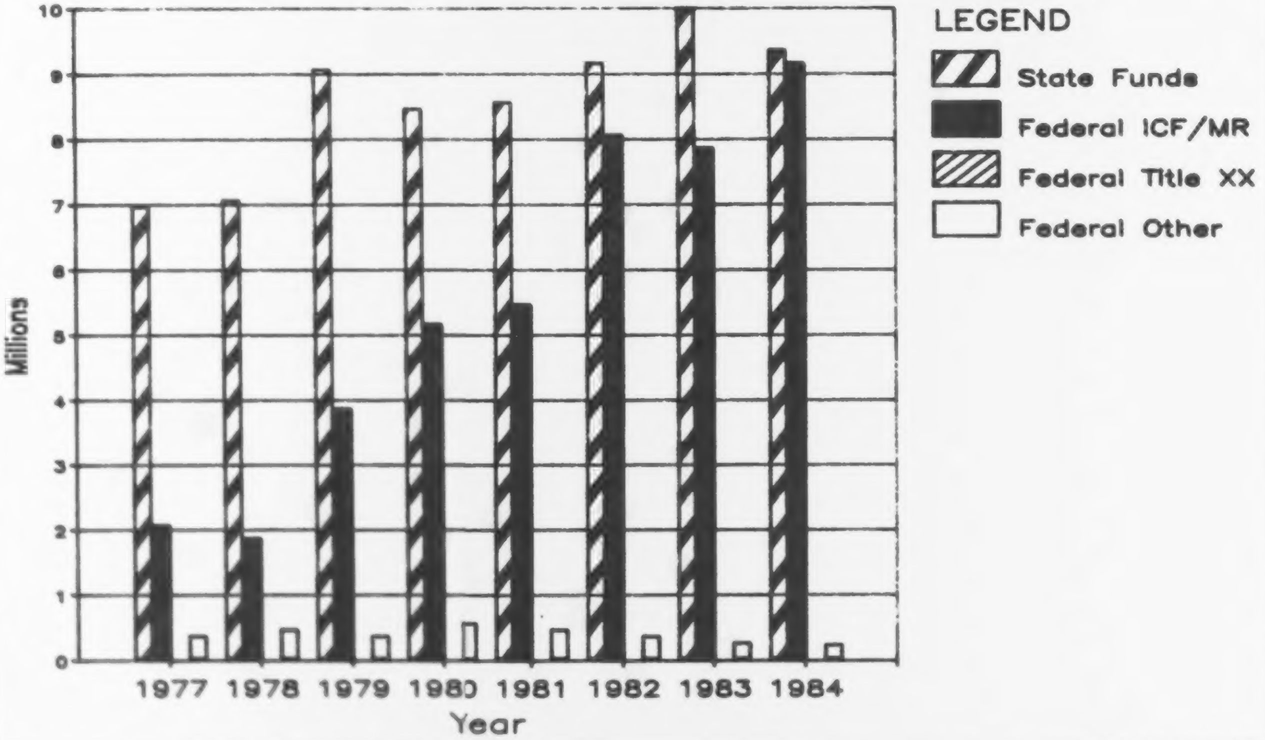
The Total State General Population FY 1977–1984



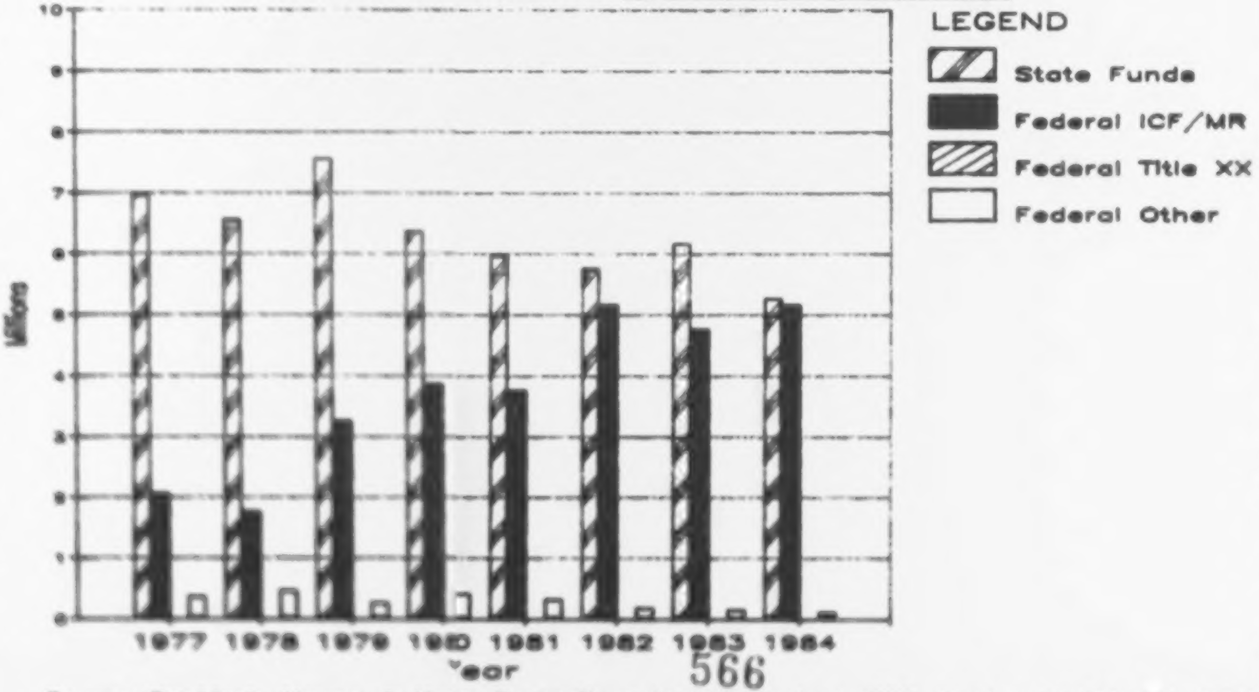
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

NEW MEXICO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



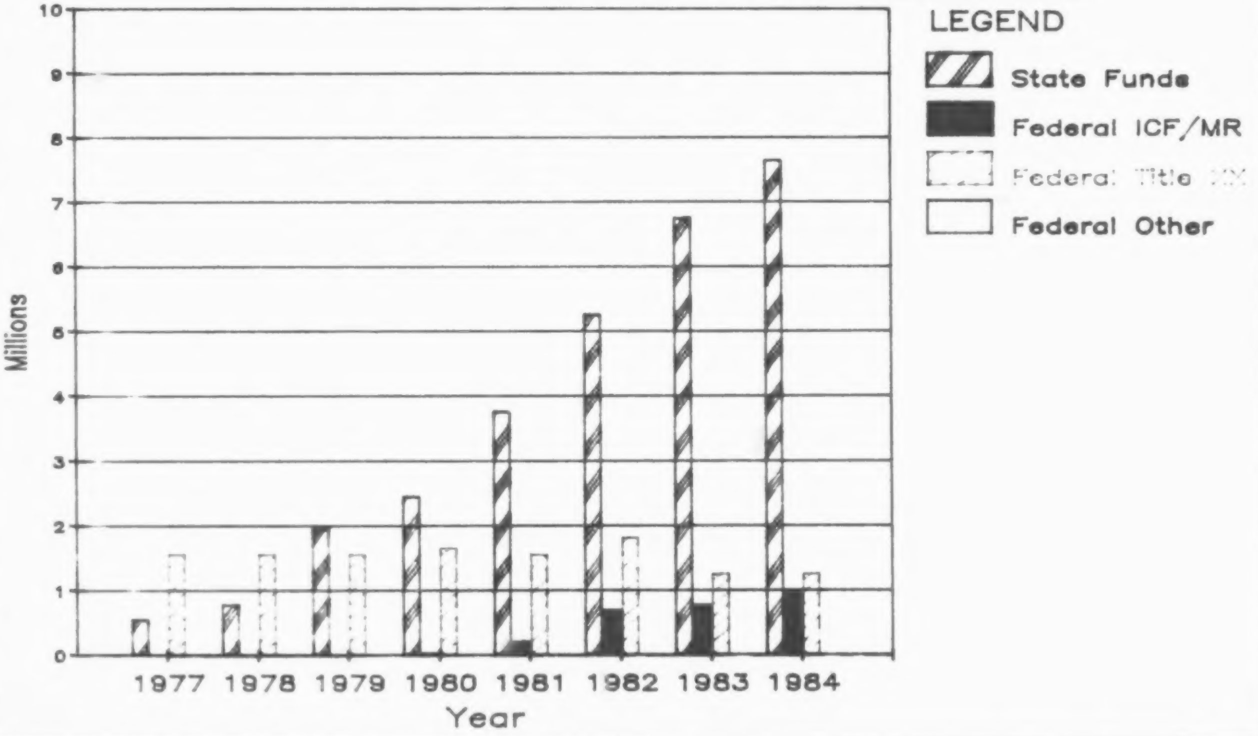
FY 1977–1984, *In 1977 Dollars*



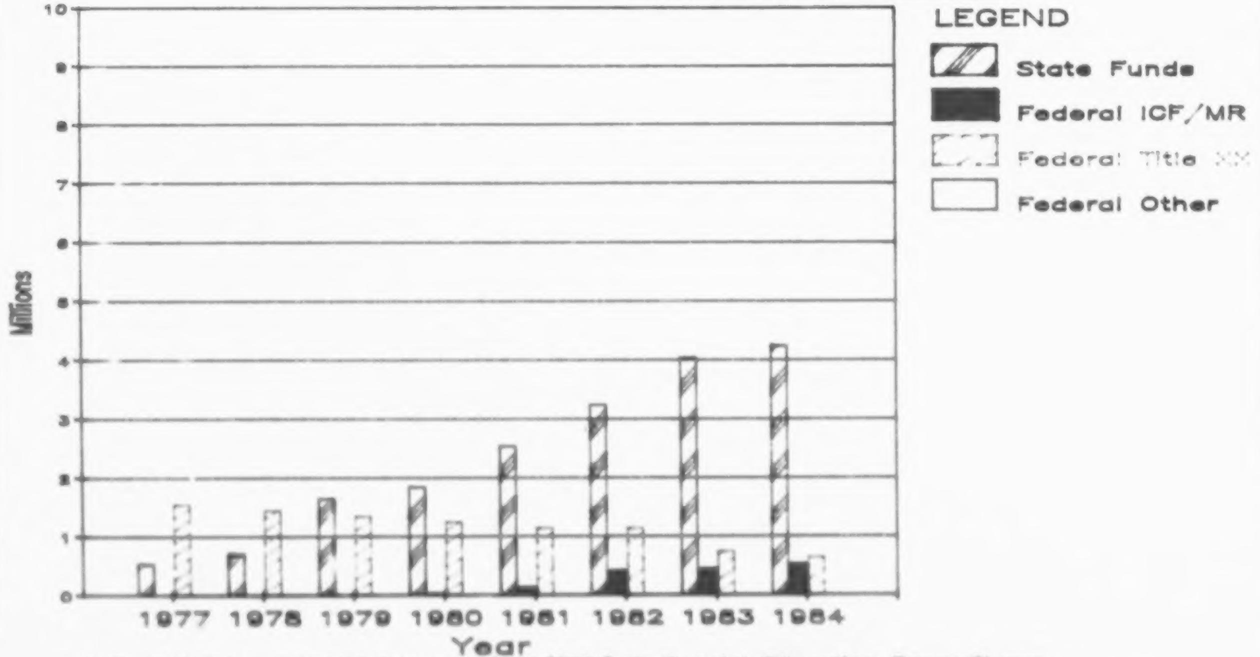
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



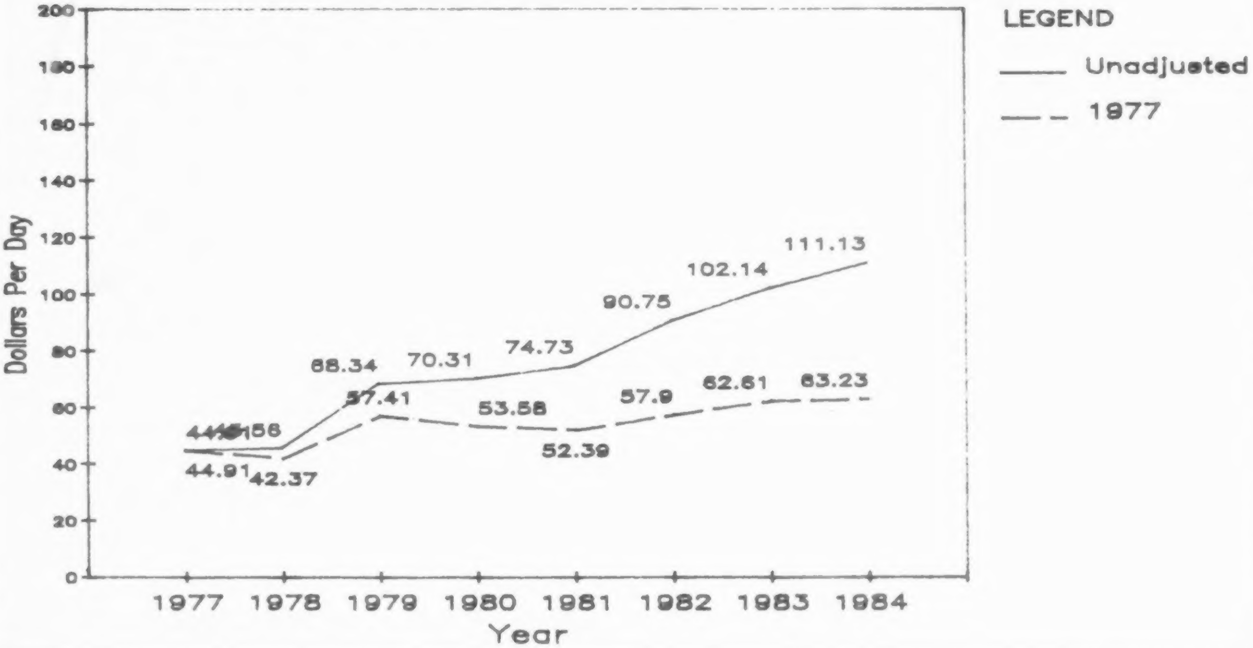
FY 1977–1984, *In 1977 Dollars*



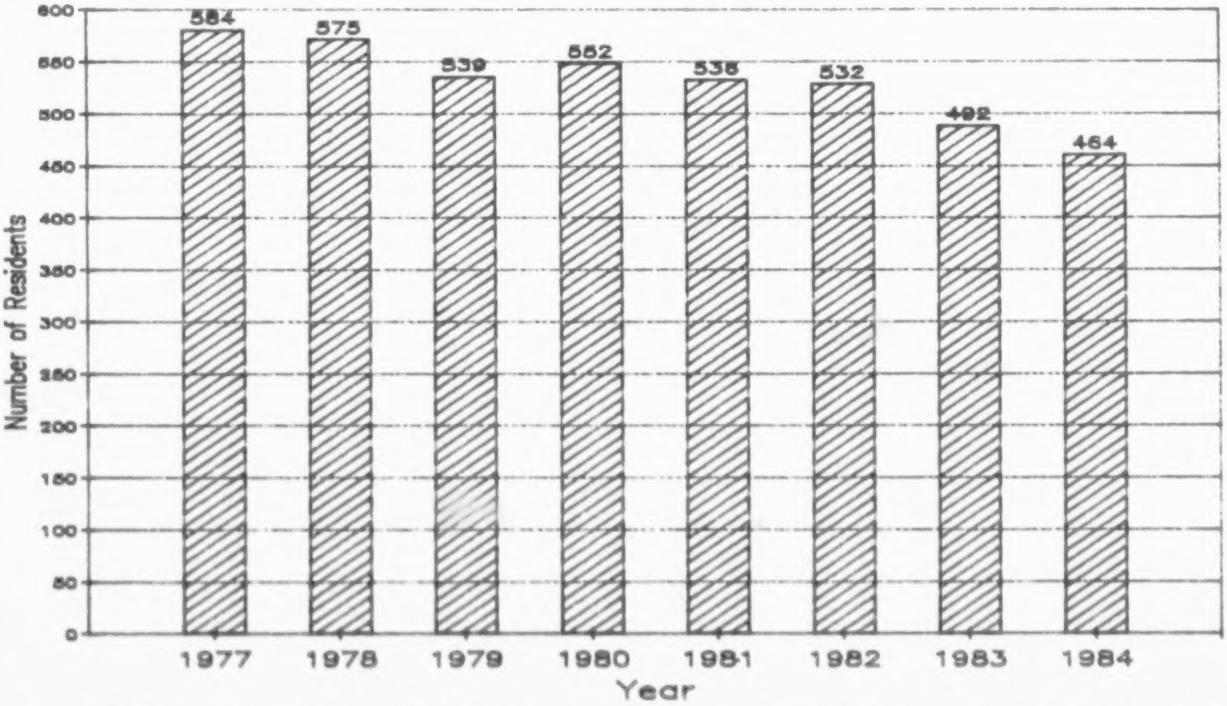
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW MEXICO

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Developmental Disabilities Bureau in New Mexico state government is organizationally positioned within the Behavioral Health Services Division of the Department of Health and the Environment. The Bureau only recently (1983) acquired responsibility for New Mexico's institutional programs as well as for community services management.

2. Budget Format: The state MR/DD agency budget is organized in the following manner:

DEPARTMENT OF HEALTH AND THE ENVIRONMENT

- Behavioral Health Services Division (Central Office)
    - [same categories as Residential Treatment Division below]
    - DD Bureau
    - MR Community Program
        - DD Community Flow-Through Funds
        - Title XX DD Funds
- Residential Treatment Division (Central Office organized FY 1981)
    - General Funds
    - Federal Funds
    - State Hospitals and Training Centers (3 listed individually)
        - General Funds
        - Federal Funds
        - Other Funds (Title XIX)
        - Cash Balance Budgeted
        - Capital Outlay

II. INSTITUTIONAL SERVICES

3. Institutional Services Funds consist of operating funds for the state's two state institutions: Las Lunas and Fort Stanton. Another state DD institution, Villa Solano (80 beds), closed in July, 1981. The aggregated average daily populations at these facilities have been:

1977 - 584
1978 - 575
1979 - 539
1980 - 552
1981 - 536
1982 - 532
1983 - 492
1984 - 464

(Source: Carolyn Klintworth, DD Bureau, telephone interview, 7/17/84.)

4. Other State Funds. In New Mexico Budget Documents, "Other Funds" refers to Title XIX funding of services in state institutions. Figures given in the published budget are for total federal and state shares. We have, therefore, netted the Federal share out of the "Other Funds" yearly totals and included the state share of Title XIX in the Other State Funds category. The FFP rates for FY 77-`84 are as follows: 73.29, 71.84, 71.84, 69.03, 69.03, 67.19, 67.19, 67.19. (Source: S. Montono, New Mexico Human Services Department, Medical Assistance Office, 9/20/83).

III. COMMUNITY SERVICES

5. Community Services includes two budget lines: "Title XX" and "Community Flow-Through Funds."

6. State General Funds. Figures for 1984 include $673,000 for a contingency fund in addition to $6,483,000 "Community Flow-Through" monies. (The state estimates expenditures for FY 1985 of an additional $527,000 in contingency funds.)

7. Title XX expenditures were obtained from the following sources: FY `77-`80 (M. Varela, New Mexico Department of Human Services, Title XX Program Office, telephone interview, 9/19/83); FY `81-`82, (Executive Budget for FY 1984); FY `83-`84 (S. Dossey, Budget Analyst, Developmental Disabilities Bureau, New Mexico Department of Health and the Environment, 9/11/83). According to M. Varela, Title XX funds have supported MR community services in New Mexico since 1975.

8. Private ICF/MR data were obtained from Sal Montono, New Mexico Department of Human Services, Medical Assistance Program Office, telephone interview, 9/16/83.

NEW YORK
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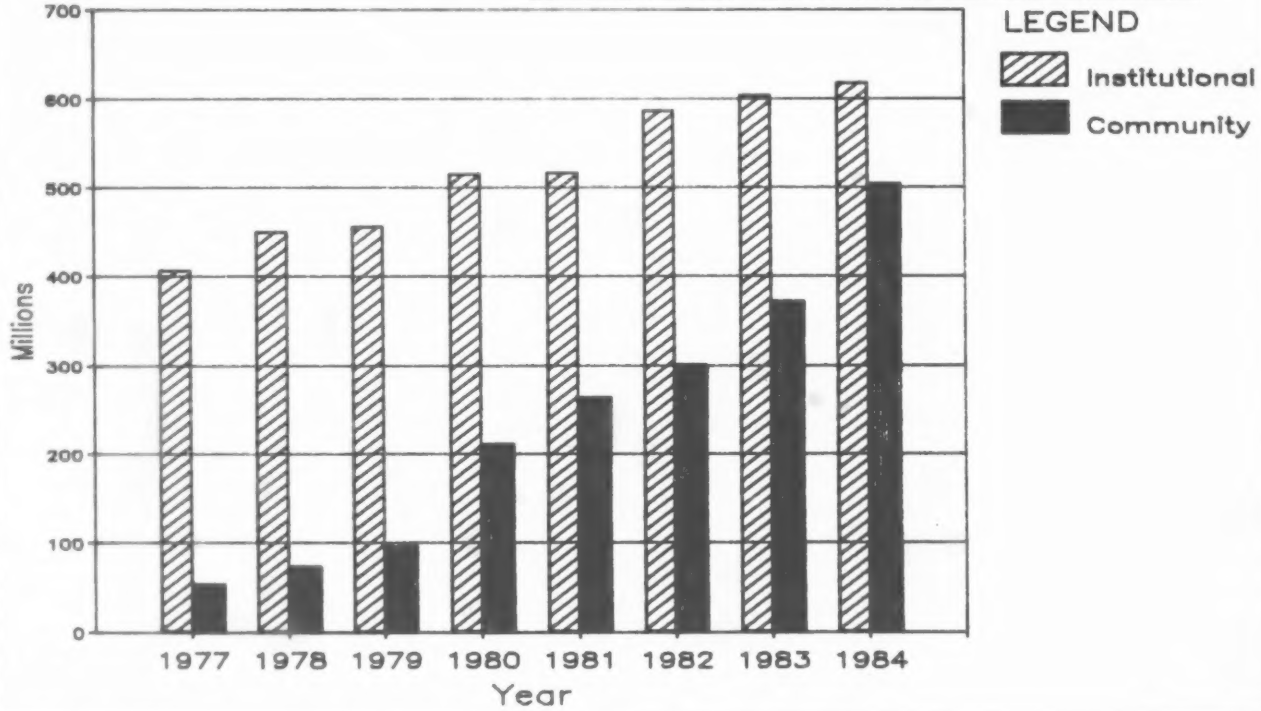
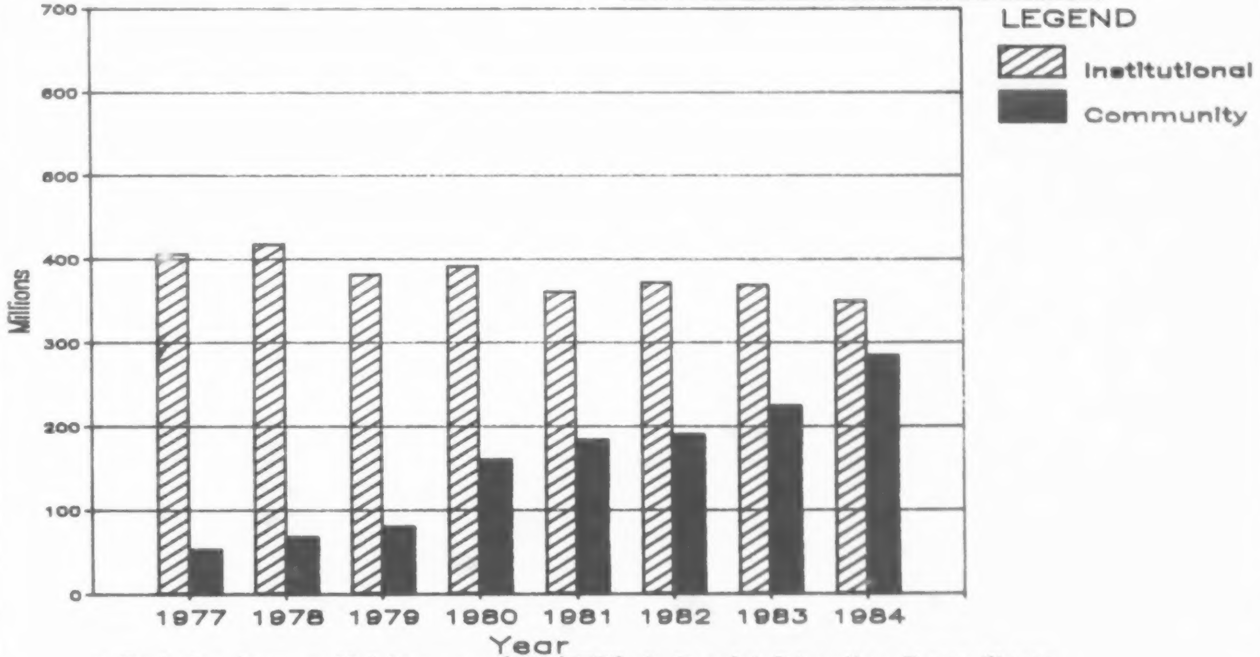
NEW YORK
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK

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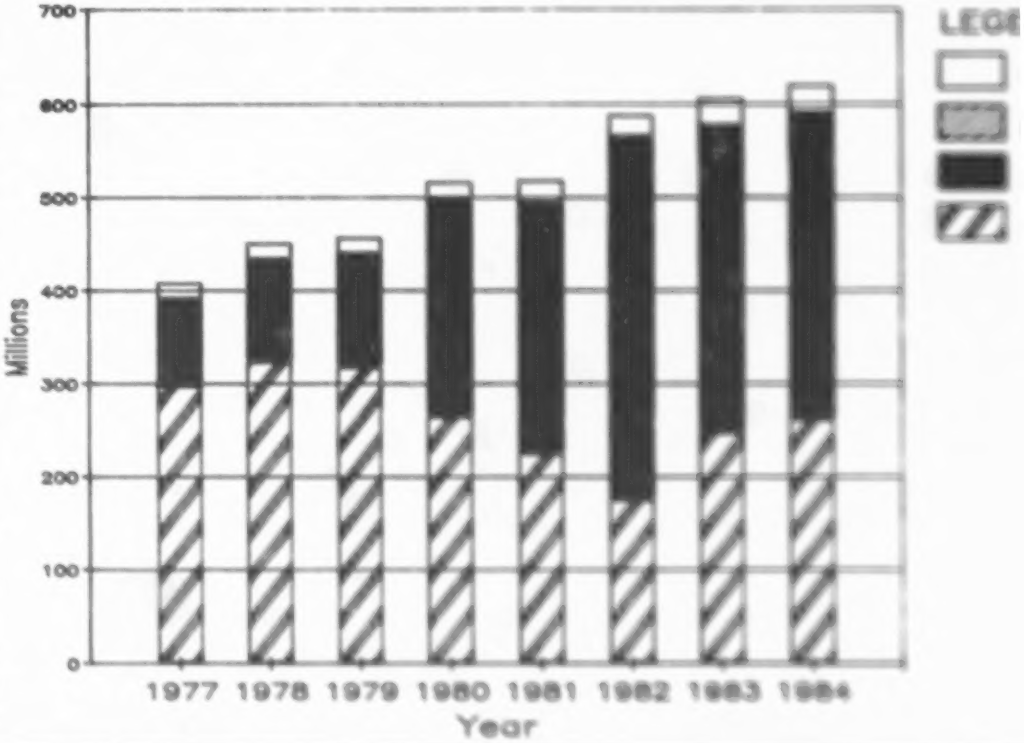
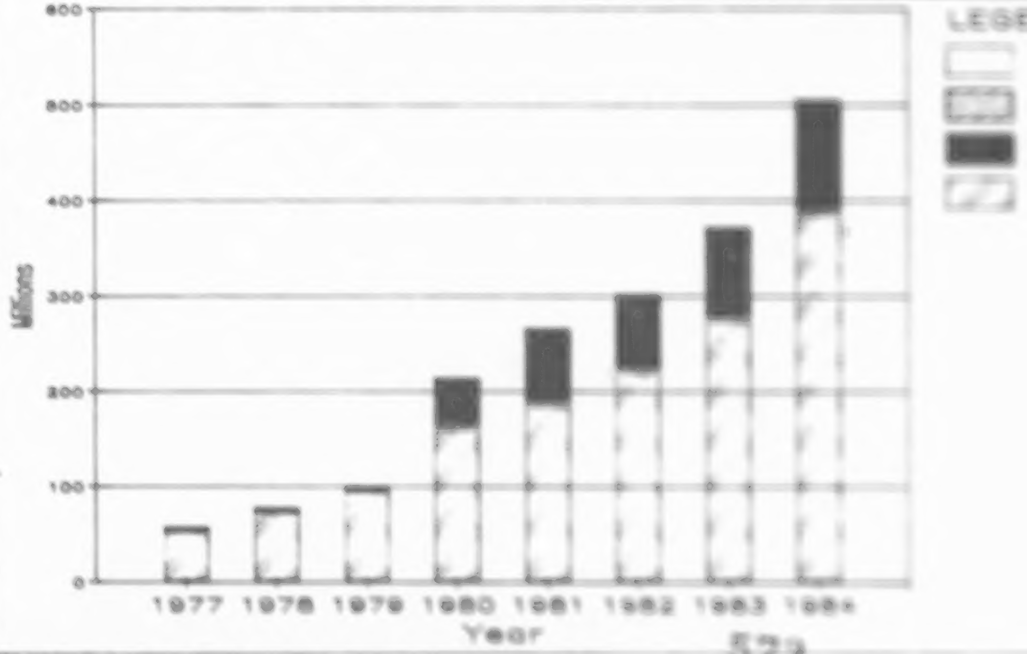
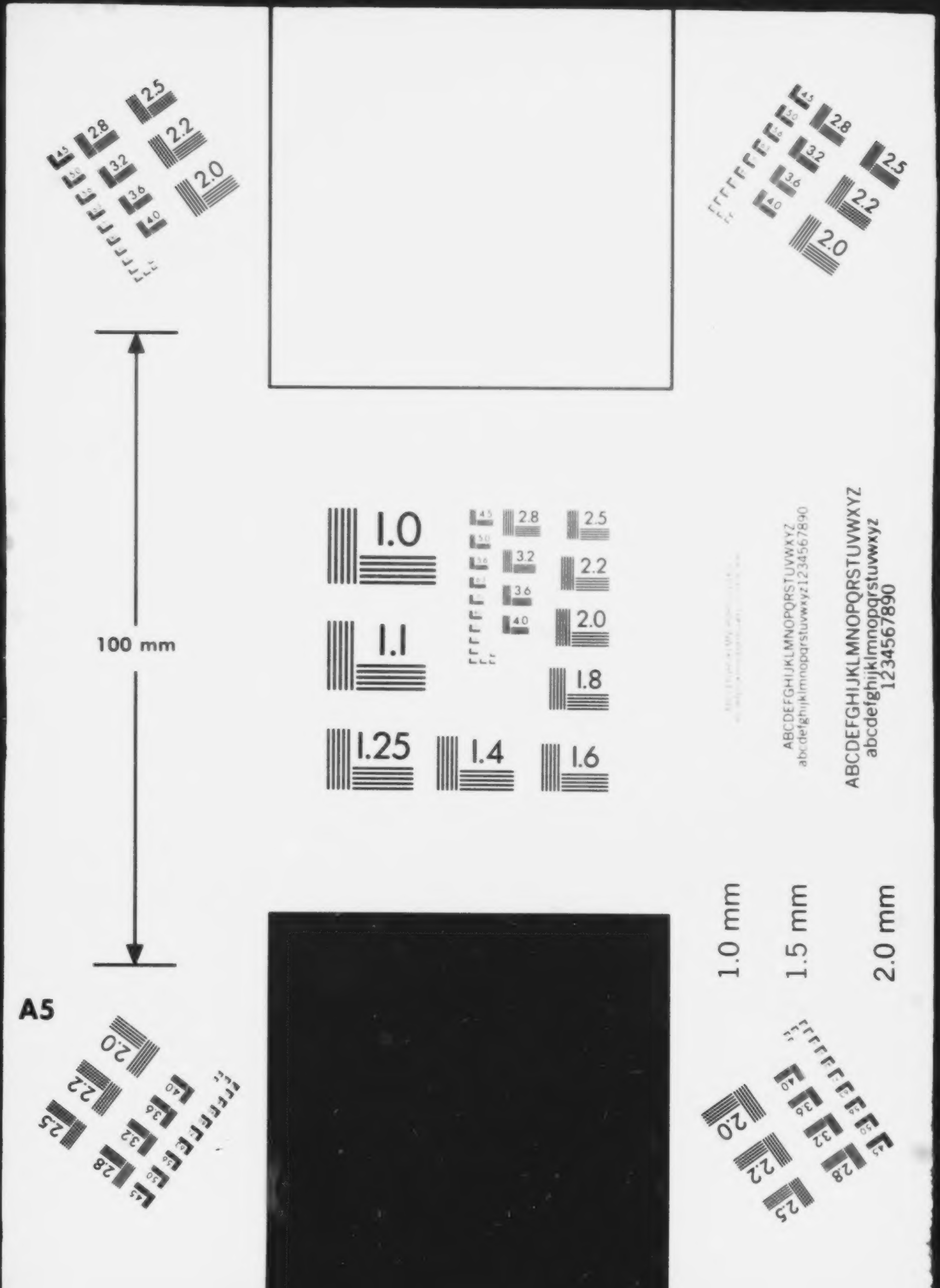
FY 1977–1984, *In Unadjusted Dol*



MR/DD Expenditures for *Community* S
A Comparison of State & Federal Fun
FY 1977–1984, *In Unadjusted Dol*

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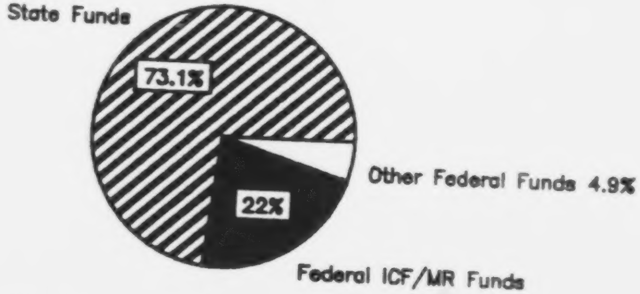
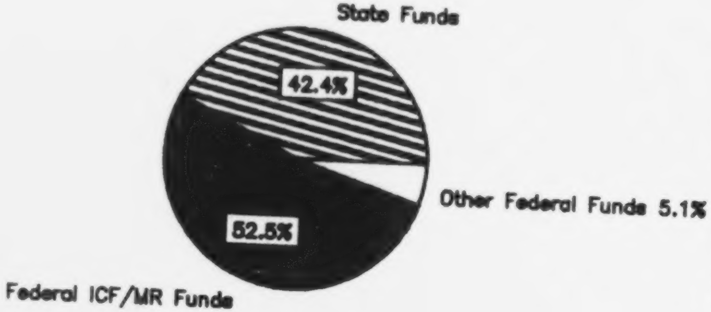
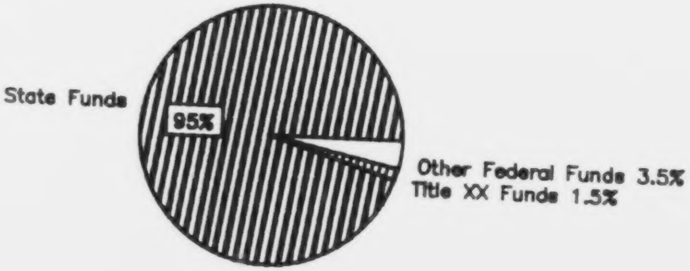
NEW YORK
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



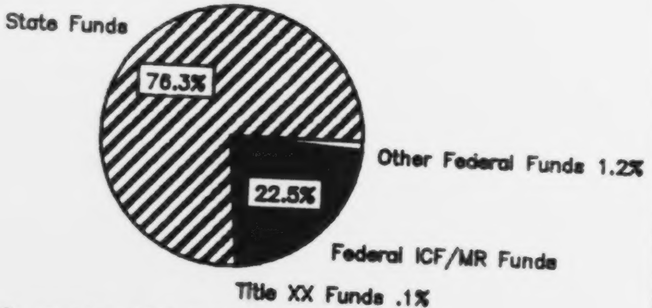
Institutional: 1977 Total Funds—$410 Million



Institutional: 1984 Total Funds—$622 Million



Community: 1977 Total Funds—$56.9 Million



Community: 1984 Total Funds—$507 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

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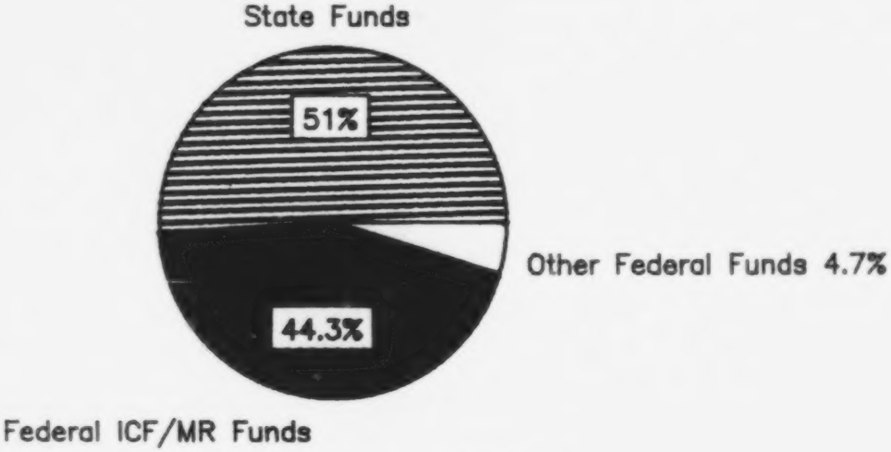
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

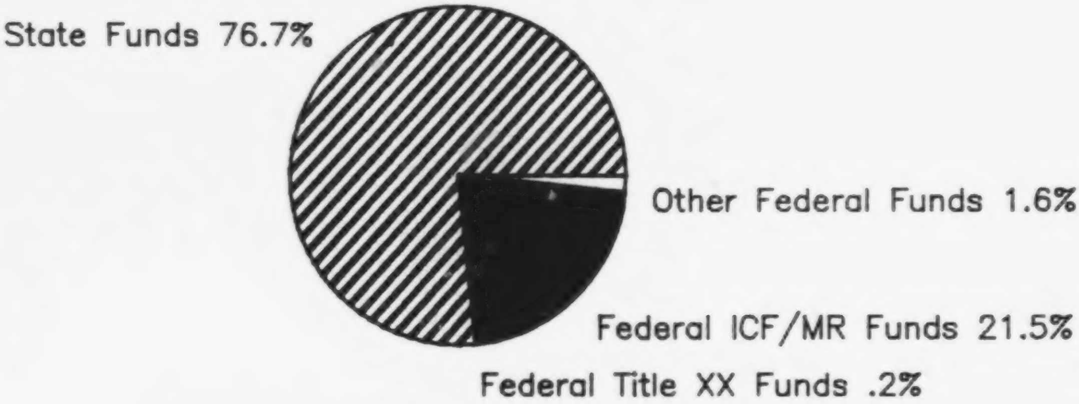
Institutional Services Funds



Total Institutional Funds: $4.2 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



Total Community Funds: $1.9 Billion

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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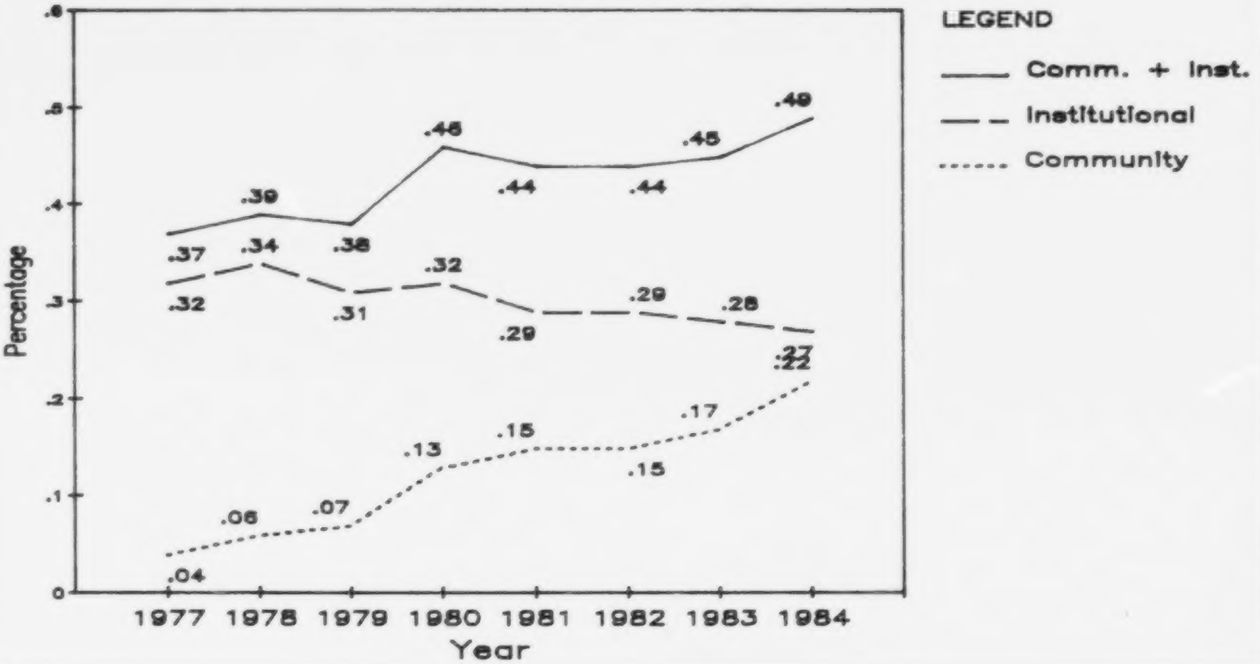
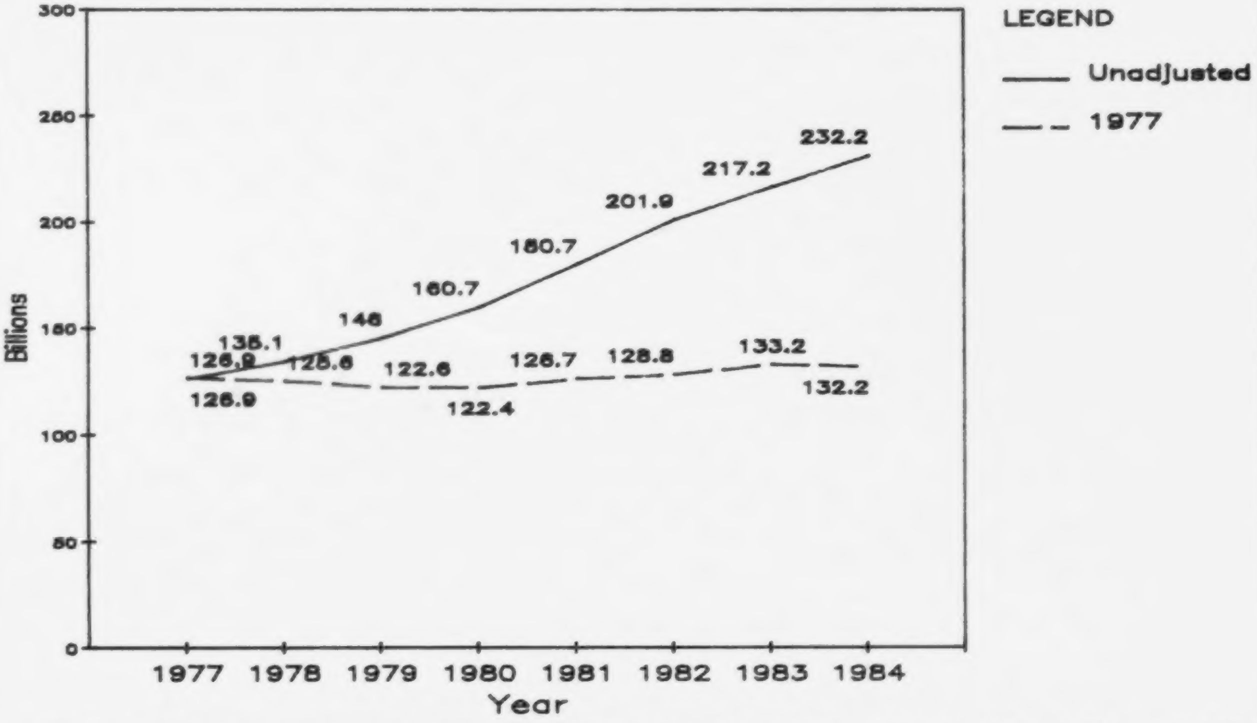
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



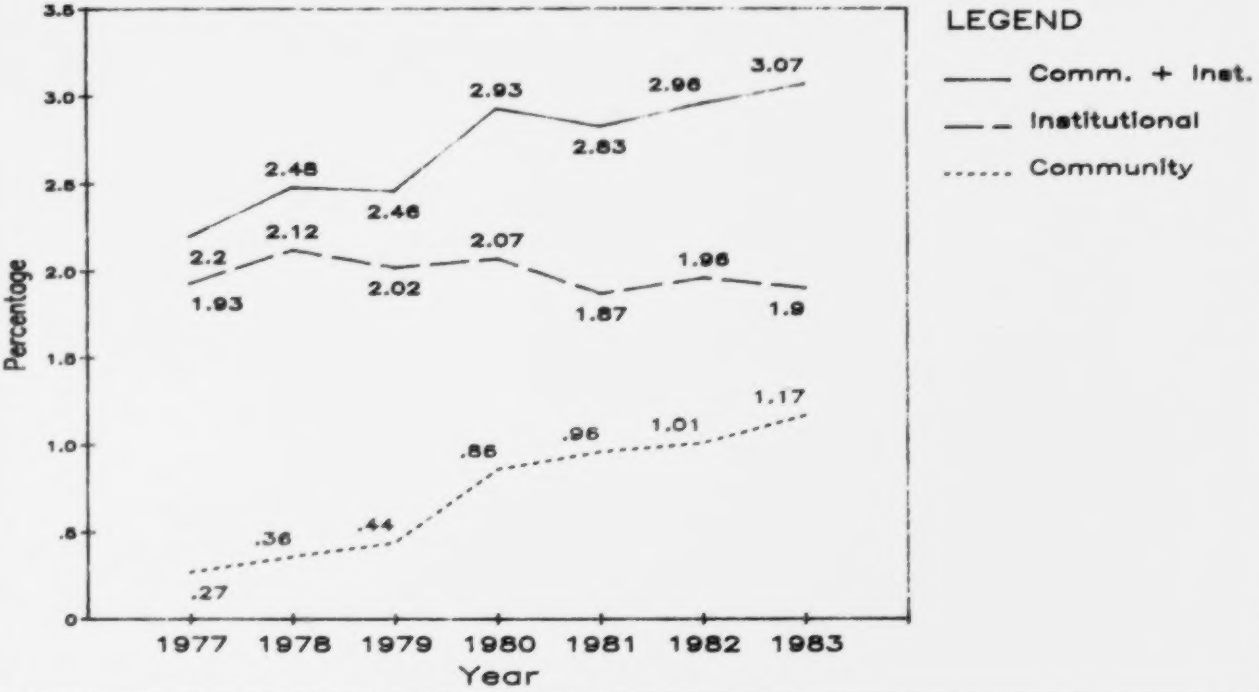
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



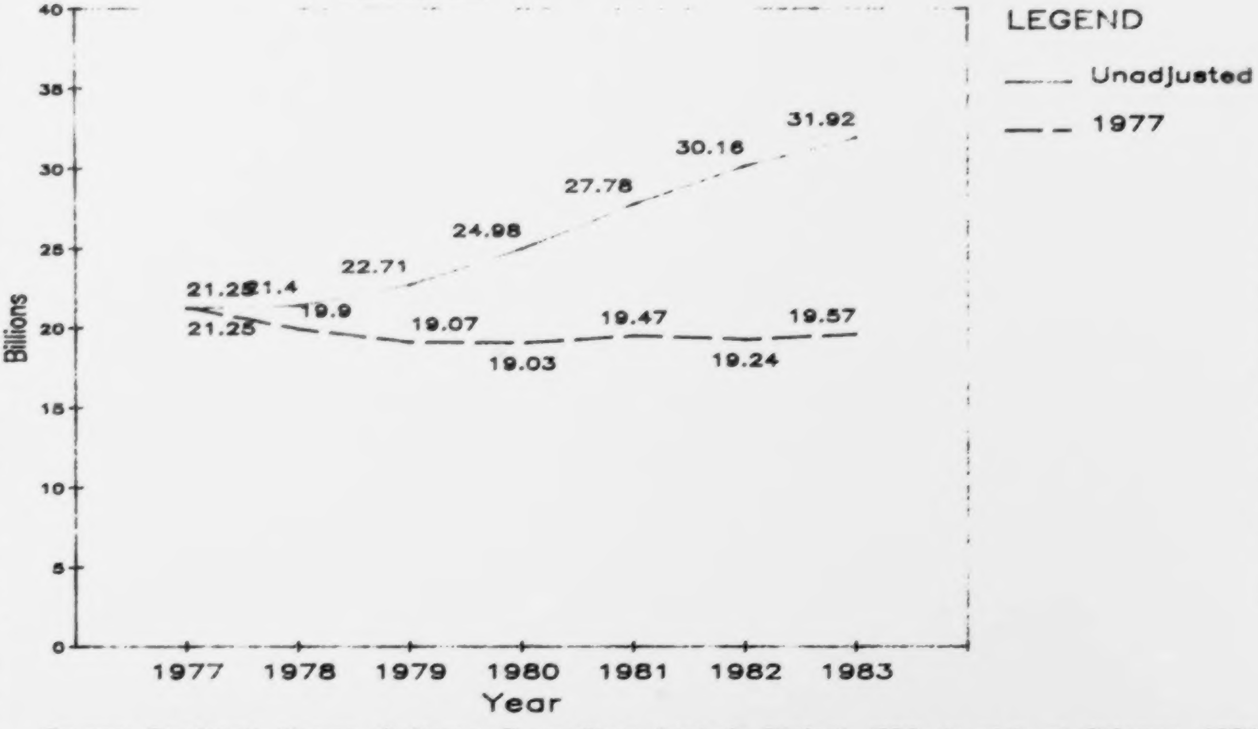
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



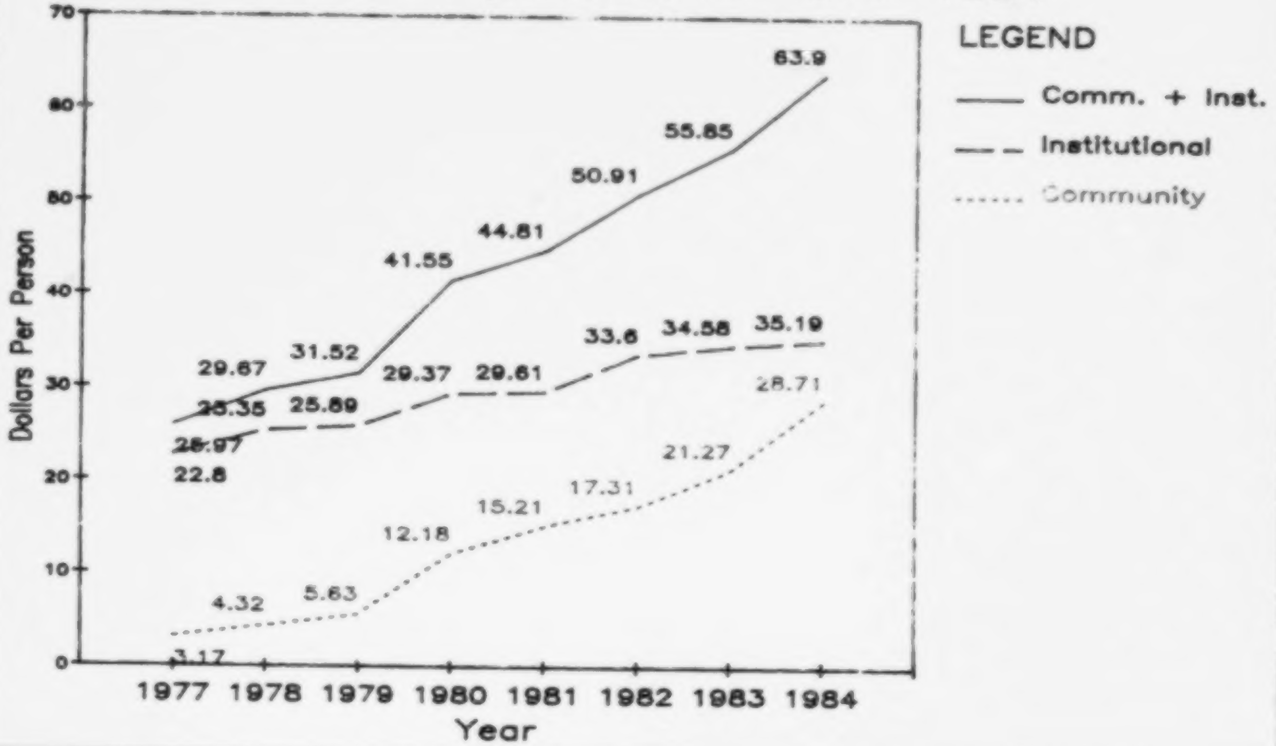
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



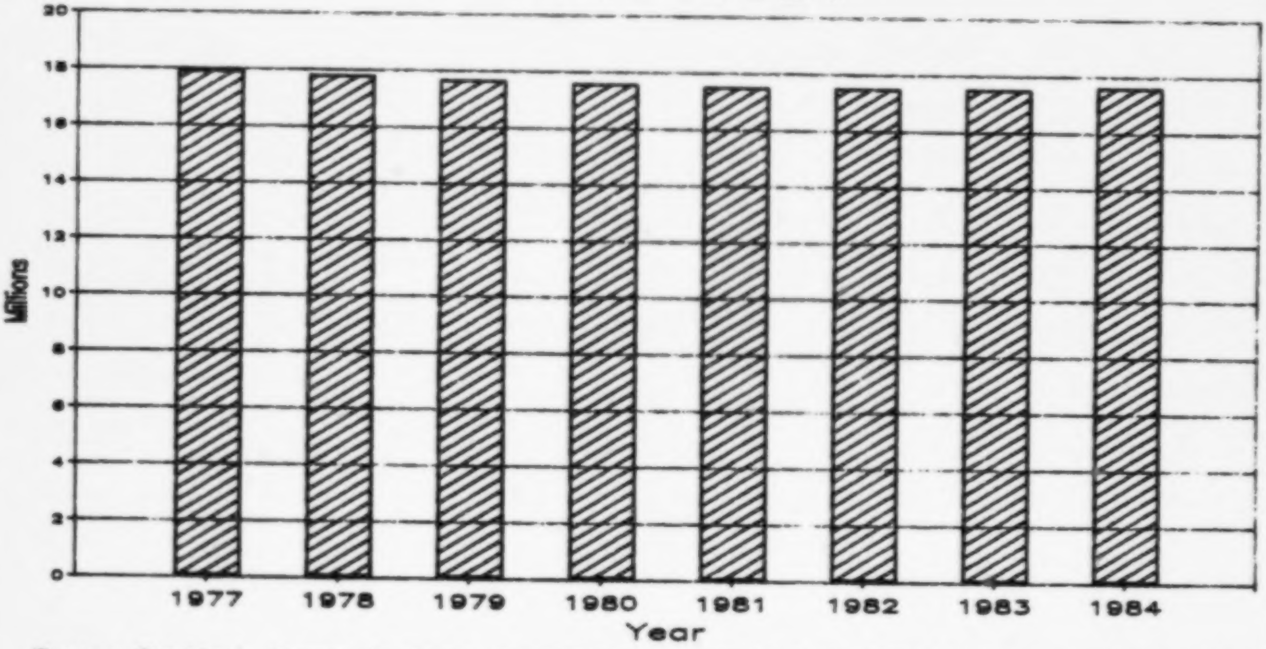
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

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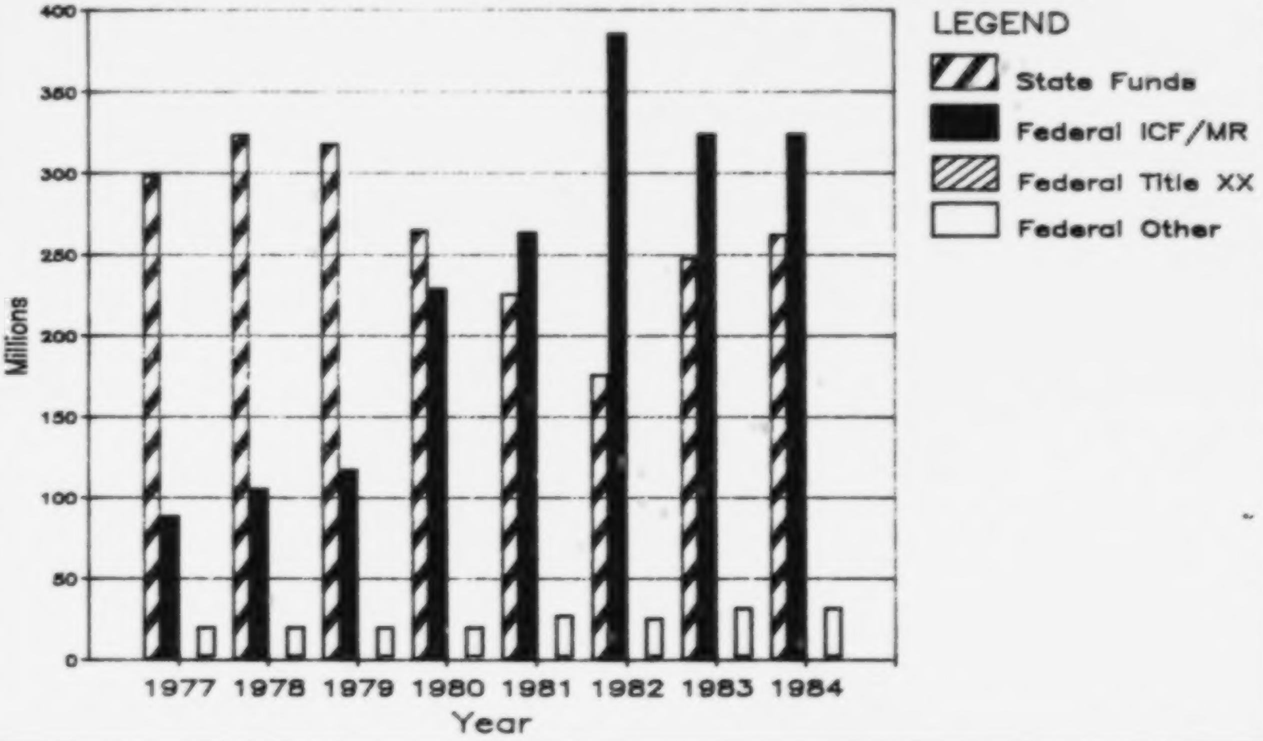
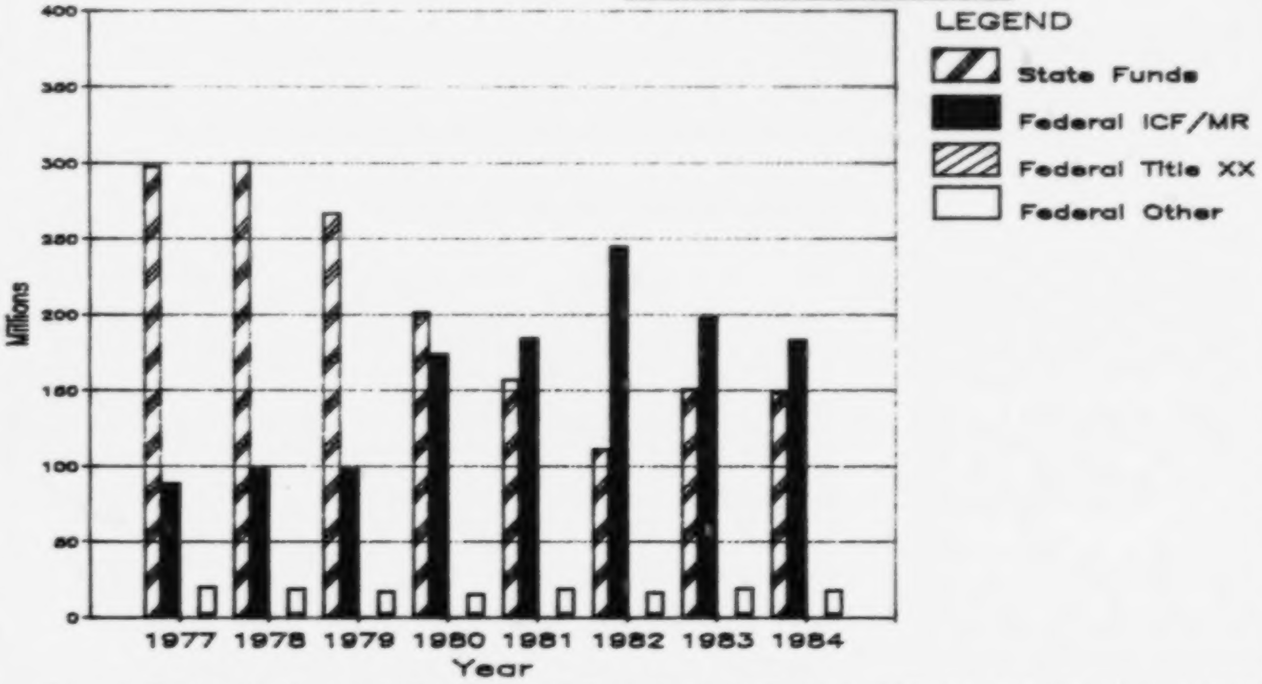
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*

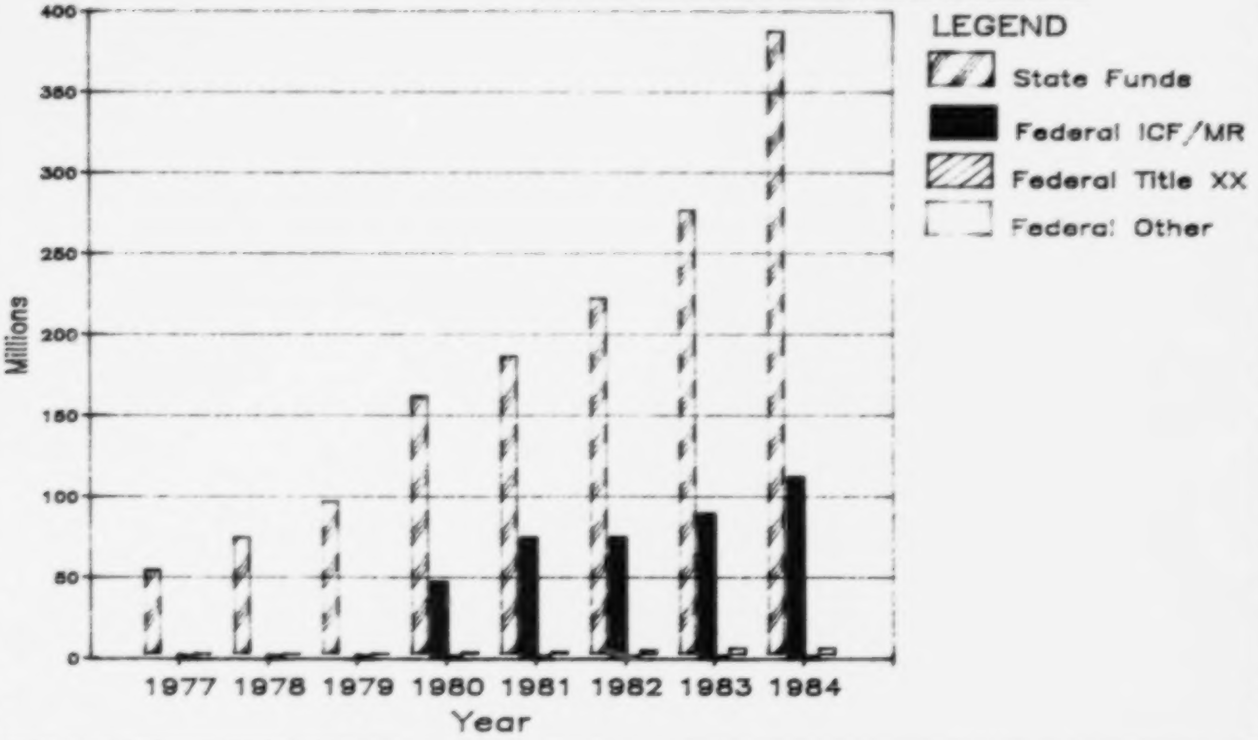


FY 1977–1984, *In 1977 Dollars*

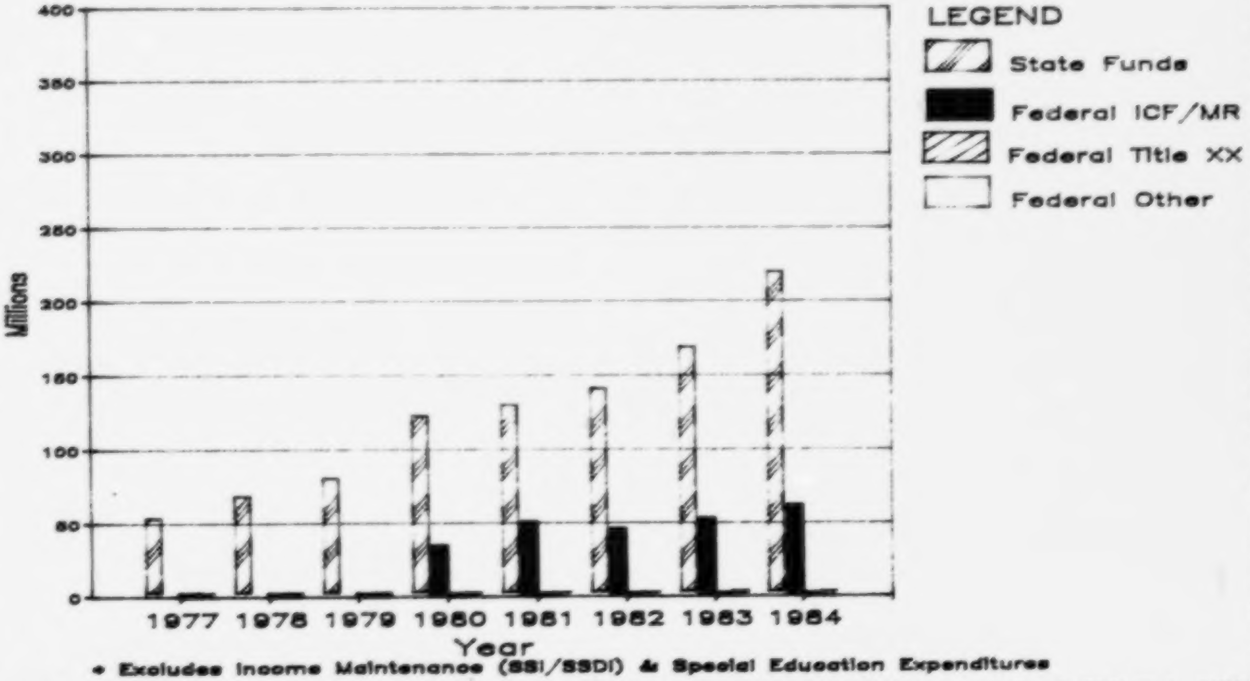


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK
MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



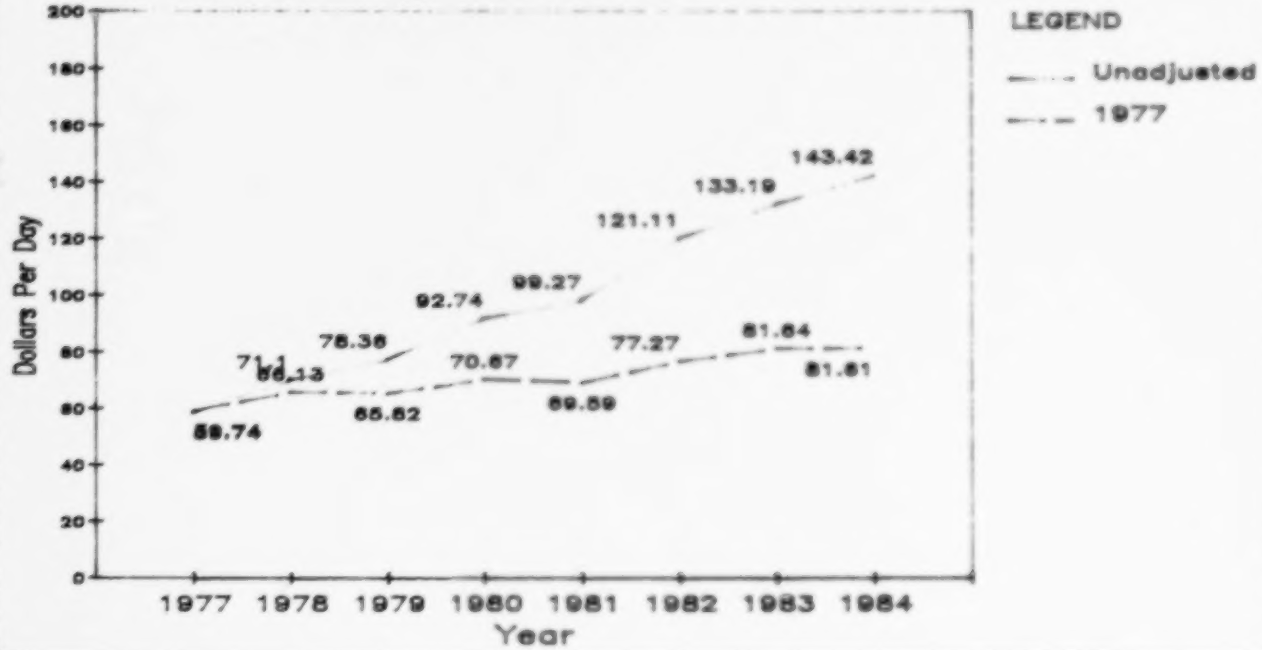
FY 1977–1984, *In 1977 Dollars*



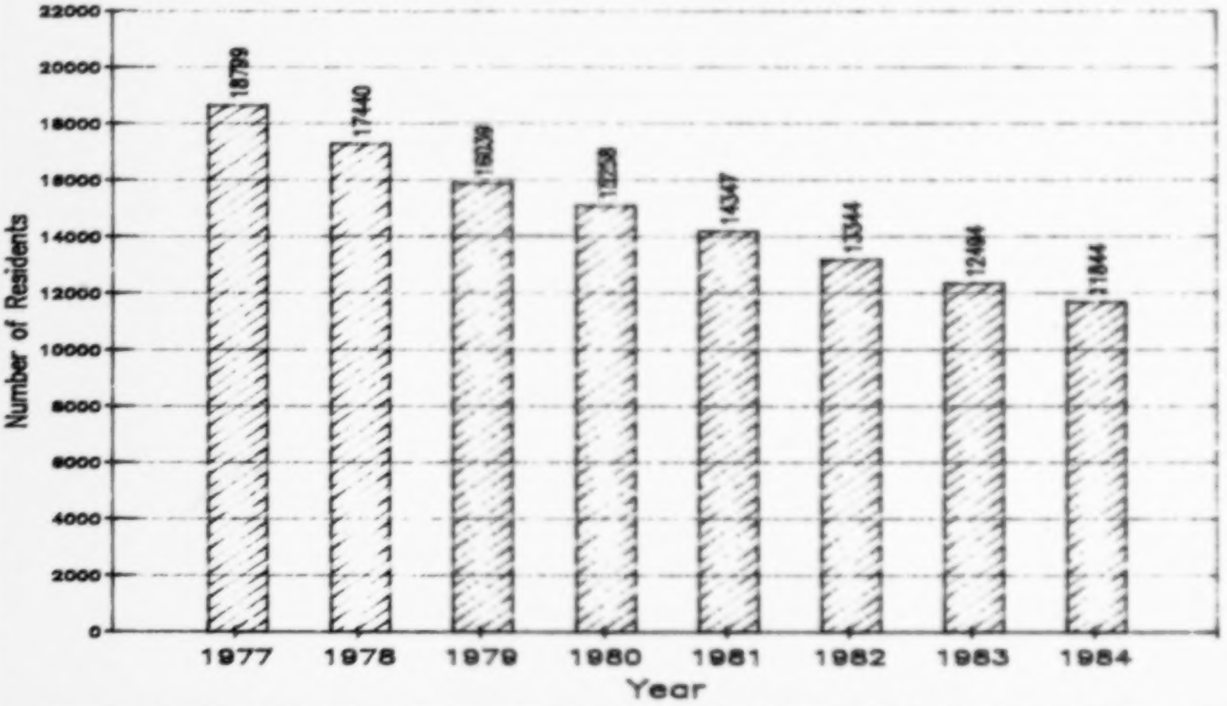
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NEW YORK

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for mentally retarded and developmentally disabled persons in New York are managed by the Office of Mental Retardation/Developmental Disabilities (OMR/DD). Prior to FY `78 (April 1, 1977 to March 31, 1978) there was a Division for MR/DD within the Department of Mental Hygiene. Although OMR/DD is larger than most of the 40 Departments in New York state government, statutory limitations on the number of Departments, which were in effect in FY `78, resulted in its designation as an "Office." The Director of the OMR/DD is, however, appointed by and reports directly to the Governor. Thus, the Office functions as a cabinet-level department.

2. Budget Format: The budgeting formats for OMR/DD changed during the period of our analysis, as indicated in the State of New York Executive Budget documents:

(FY `77)
- Prevention and Care
  - State Purposes
  - Local Assistance
  - Federal Funds

(FY `78 -`81)
- Prevention and Care
  - State Purposes
  - Local Assistance
  - Federal Funds
- Family Care/Personal Care
- Executive Management
- Quality Assurance
- Res. Resources and Reimb.
- Court-ordered
- Youth Opportunity
- Research in MR/IBR

(FY `82 - `83)
- State Operations
  - General Fund
  - Special Revenue-Other
  - Enterprise
- Aid to Localities
  - General Fund

(FY `84)
- State Operations
- Aid to Localities
- [Capital Projects]*

Subtotals Below:
- Institutional Services
- Community Services
  - State Operations
  - Aid to Localities
- Executive Management
- Quality Assurance
- Revenue and Reimbursements
- Research in MR
- Court Ordered

*Non-Add item

3. Note on Data Sources: State of New York Executive Budget documents were reviewed for FY `78, `79, `80, `81, `82, `83 and `84 (April 1, 1977 through March 31, 1984). These documents provided expenditure figures classified as "available" for FY `77 - `83 and "recommended" in FY `84 (these classifications of expenditures were subsequently modified).

   Although Tables in the FY `78 thru `83 budget documents provided "Institutional Costs" as a subset of OMR/DD, more detailed information on Federal (e.g. ICF/MR) and other fund sources was required. Therefore State Officials in OMR/DD and in other State Offices were contacted.

A series of phone interviews with and correspondence from OMR/DD and other N.Y. state agency officials provided final expenditure figures used in the analysis. The initial correspondence (1/3/84) from Mr. Raymond Seymour, Director, Fiscal and Contracts Management, OMR/DD, provided FY `79-`84 "Institutional" and "Community" expenditures labeled "State Purposes" and sub-categorized as "Personal Services" and "Non-Personal Services." Subsequent (1/6/84) correspondence from Seymour provided Local Assistance, Medicaid, and various Other Revenues and Federal Fund Sources for FY `80-`83. In addition to these figures, the 1/3/84 correspondence had provided expenditure figures for "Maintenance Undistributed" for FY `79-`84 (separated by the State into Community/Institutional for FY `82-`84 only).

In a subsequent telephone interview (1/31/84) Ms. Barbara Baciewicz, Fiscal Management and Analysis, OMR/DD, indicated that "Maintenance Undistributed" consists of funds for the "maintenance" of either the Institutional or Community program elements, earmarked in order to track how funds were spent (e.g. "for day programs" or "for therapeutic local services"). She indicated that these funds may sometimes be a result of legislative initiative, but are primarily earmarked separately so that budget officials in OMR/DD can track the expenditures. Community and Institutional shares of "Maintenance Undistributed" funds were calculated in our analysis based on the Community/Institutional ratio of all other State Funds expended for each year. State officials concurred with this methodology for estimating "Maintenance Undistributed" funds. These funds ranged from $30.0 million in `79 to $72.0 million in `84.

A draft of our analysis of New York's Community and Institutional Services expenditures was mailed to OMR/DD officials February 3, 1984. In subsequent telephone follow-up discussions Seymour and Baciewicz clarified that employee fringe benefits expenditures were <u>not</u> included in the budget document figures which were the bases of our analysis. Fringe was also absent from supplementary figures provided in correspondence. Seymour and Baciewicz also indicated that Federal Revenue for Title XIX and other Federal revenues not "grant specific" would have to be offset against General Fund and against Total expenditures for each year for both Institutional and Community services. Our <u>revised</u> analysis, therefore, reflects this increase in Community and Institutional Services State General Funds to include the employee benefits expenditures; and the analysis also reflects the offsetting of Title XIX Federal revenues, and the offsetting of 90% of "resident fees" (for Institutional Services) and 90% "non-resident fees" (for Community Services)--see Notes 8 and 14 below.

The following modifications to the analysis, for example, were performed for FY `84:

<u>Institutional Services</u>	
1. Original Draft (2/3/84) Inst. Services General Fund	$485,152,000
2. Addition of Employee Benefits ($119,701,500 or 19.8%)	$604,853,500
3. Offsetting of Title XIX Federal Revenue	($326,170,000)
4. Offsetting of 90% of "Resident Fees"	($ 17,583,500)
5. Current Analysis: <u>Institutional Services General Fund</u>	$261,100,000

<u>Community Services</u>	
1. Original Draft (2/3/84) Community Services General Fund	$297,849,000
* 2. Addition of Employee Benefits ($26,543,000 or 8.2%)	$324,392,000
3. Offsetting of Title XIX Federal Revenue	($ 24,422,000)
4. Offsetting of 90% of "Non-resident Fees"	($ 3,344,200)
5. Current Analysis: <u>Community Services General Fund</u>	$296,626,000

*Note: Most of the General Fund expenditures for Community Services are for grants to, or purchase of service contracts with, private service providers; hence employee benefits for Community expenditures are less than for Institutional Services since a relatively smaller portion of these funds are for state employees.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of the State and Federal expenditures for the developmental centers throughout the state. The Executive Budget documents provided aggregated developmental center population figures (mid-Fiscal year) and these were updated as follows (telephone interview, Ms. Cindy McDonough, OMR/DD, 6/25/84).

   FY 1977 - 18,799
   FY 1978 - 17,440
   FY 1979 - 16,039
   FY 1980 - 15,258
   FY 1981 - 14,347
   FY 1982 - 13,344
   FY 1983 - 12,495
   FY 1984 - 11,844

   (Note: These population figures, as well as the expenditure figures, include "Discrete Mental Retardation Units" (DMRUs) at Office of Mental Health facilities; as well as other Special Developmental Disabilities units.

5. State General Fund. As indicated in Note 3 above, our analysis of State General Fund expenditures includes Employee Benefits. Title XIX Federal Revenue and 90% of the reported "Resident Fees" have been offset against the figures presented in New York's Executive Budget.

6. Other State Funds. These figures were provided, for the FY `80-`83 period, in the 1/6/84 correspondence, and further clarified in a 2/1/84 phone interview with Marshall Rosenfeld, Division of Revenue Management, OMR/DD. We utilized the FY `80-`83 figures as reported in the correspondence for the Other State funds category in the analysis: the FY `77- `79 analysis figures are our estimates, based on the most proximate year's expenditures. For FY `80-`83, the Other State Funds consist of:

   An estimated 10%/year of figures reported in the 1/6/84 correspondence as "resident fees"; and

   A line entitled "miscellaneous," in the 1/6/84 correspondence which Rosenfeld designated, by example, as: "rent payment from institutional property."

7. Title XIX. A combination of sources was used to determine Institutional, Community, and Private ICF/MR (Title XIX) expenditures. The discussion below indicates how the "Institutional ICF/MR" and "Community ICF/MR" Federal-share figures provided by OMR/DD were offset against ICF/MR figures obtained from the HCFA to arrive at the estimated Private ICF/MR Federal-share figures.

   In FY `81, the HCFA reports New York's Federal Share ICF/MR receipts at $383,633,000. The 1/6/84 correspondence from OMR/DD had reported FY `81 Institutional Services Title XIX revenues of $265,529,000 (consisting of "Medicaid ICF/MR," "Utilization Review," "Administrative Salary Sharing," and "rate setting"). The 1/6/84 correspondence also reported Community Services Title XIX revenues of $9,690,000 (consisting of "Day Treatment Recoupment," "Subchapter A/Other than Subchapter A," "State-operated Day Training," "State-operated ICF/DD," and "Voluntary ICF Recoupments").

   To determine Private ICF/MR reimbursements, we subtracted the OMR/DD figures for Institutional and Community Services Title XIX revenues from the HCFA Title XIX Federal Share figure for each year. Then, the following additional calculations were necessary:

   A. The 1/6/84 OMR/DD correspondence included a footnote indicating that the FY `82 Institutional Services Title XIX figure "Includes $52 million pended upon rate appeal."

Source of Expenditure	Description	FY 1981	FY 1982	FY 1983
HCFA	N.Y Federal Share ICF/MR	$383,633,000	$405,710,000	$434,727,000
OMR/DD	Institutional Services Federal XIX	($265,529,000)	($387,015,000)	($326,170,000)
OMR/DD	Com. Services Federal XIX	($ 9,690,000)	($ 9,912,000)	($24,422,000)
Subtraction of OMR/DD figures from HCFA figures	Estimated Private ICF/MR Federal Share	$108,414,000	$ 8,783,000	$ 84,135,000

To more effectively represent Private ICF/MR Federal-Share expenditures for FY `81-FY `83, we added the FY `81 through FY `83 Private ICF/MR Federal figures as calculated in the table above:

$108,414,000 (FY `81)
8,783,000 (FY `82)
84,135,000 (FY `83)
$201,332,000

and then divided the total by three, to arrive at an "average" of $67,111,000 as the Private ICF/MR Federal Share reimbursements for each year. (The Institutional Services Title XIX Federal figures provided by OMR/DD were not altered and are included in the State General Fund figures as indicated in the Table.)

B. The 1/6/84 OMR/DD correspondence had not provided FY `84 Institutional and Community Services Title XIX revenue figures; therefore, we utilized for FY `84 the same figures as indicated in the Table for FY `83, subtracting these from the HCFA FY `84 projection ($440,320,000) to arrive at an estimated FY `84 Private ICF/MR Federal-Share of $89,728,000.

C. The 1/6/84 OMR/DD correspondence also did not provide FY `77-`79 Institutional and Community Service Title XIX Federal revenue figures. We used HCFA reimbursement data for these years, and concluded that the HCFA figures in these earlier years reflected reimbursements for Institutional Services only.

To be as accurate as possible we also reviewed the fiscal data emanating from the FY `83 Revenue Report of the New York State Department of Social Services (George Cusack, telephone interview, 2/3/84). These data should have been and were comparable to the information which OMR/DD provided, and which we deduced through the methodology described in Note "A" above.

FY `83 OMR/DD ICF/MR Federal Revenue
Source: New York State Social Services Department

OMR/DD ICF/MR	$ 325,300,000
OMR Private Hospital	2,450,000
SUBTOTAL INSTITUTIONAL ICF/MR	$ 327,750,000
Community-based ICF/MR	$ 7,500,000
Subchapter A-State-operated	850,000
Subchapter A-Day Training	12,950,000
OMR Personal Care/Home Care, etc.	2,250,000
SUBTOTAL COMMUNITY ICF/MR	$23,550,000

8. Other Federal Funds consists of (these are FY `83 percentages) Medicare (31%), School Lunch Program (5%); Disabled Children's Program (4%); Foster Grandparents (3%); ESEA Title I (2%). The remaining 55% consists of the estimated "resident fees" as clarified for us by Rosenfeld (telephone interviews, 2/1/84 and 4/16/84). OMR/DD has, since FY '77,

modified parental financial liablity, and has a billing system which collects various types of resident contributions as a "spend-down" in meeting Medicaid (Title XIX) funding requirements. Residents in developmental centers contribute their resources gained through all Social Security Titles (except the $28.50/month personal allowance); through Railroad Retirement, CHAMPUS, Union Benefits, Health Insurance, etc. At the suggestion of Rosenfeld (2/1/84) the analysis estimated 90% of these "resident fees" to be Federal in source. Most are Social Security Benefits. For example, in one month (February, 1984) 5995 of 6813 individual accounts in the Billing System were Social Security related--a total of $1,46 million, or 89% of all patient accounts.

The remaining 10% of resident fees are designated Other State Funds in our analysis (see Note 6 above). Finally, FY `77-FY `79 and FY `84 are estimated based on the proximate year for which Other Federal Funds expenditures were available. (For example, the FY `80 figure is utilized for FY `77-79.)

III. COMMUNITY SERVICES

9. Community Services consists of OMR/DD funds bugeted for Community Personal Services and Non-personal Services State Purposes; Local Assistance--Mortgage Interest-Chapter 412, Unified Services, Direct Sheltered Workshop, Chapter 620, Chapter 620-CR, Chapter 978, and, in FY `83 and FY `84:

   Operation of Community Residences
   Home Care
   Family-Personal Care
   Chapter 720
   Subchapter A
   Special Olympics
   ICF/DD
   Neurologically Impaired
   Capital Aid
   Community-based Care
   General Operating Expense,
   and a number of other smaller services components.

10. State General Fund. See Note 3 above for an explanation of the inclusion of fringe benefits, and the exclusion of Federal Title XIX and other Federal Sources ("Non-resident Fees") from the General Fund figures which had been originally calculated by our project staff and forwarded in the initial draft analysis to the OMRDD.

11. Other State Funds consists of an estimated 10% of "Non-resident fees," "Contract recoveries," "Subchapter-A spend-down," and "Special Services." These figures are from the 1/6/84 OMR/DD correspondence for FY `80-`83. The FY `77-`79 and FY `84 figures are estimated, based on the proximate year for which expenditure figures are available.

12. Title XIX consists of the figures from the 1/6/84 OMR/DD correspondence representing state-operated, but community-based, residential and day training programs. (See Note 7 above for additional descriptions of these programs.) In FY `83 and as estimated in FY `84, nearly 95% of the Community Services Title XIX funds reimbursing OMR/DD operations are for residential (ICF/DD) programs.

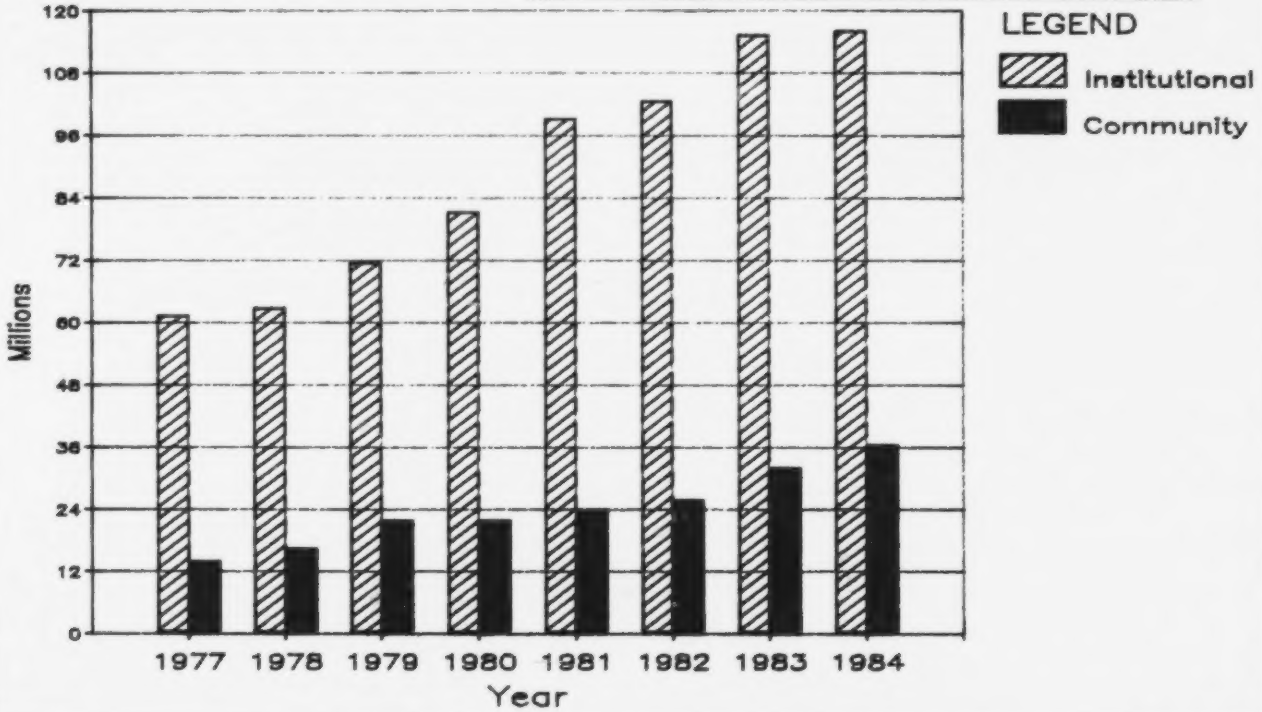
13. Title XX consists of Federal Title XX training program funds; the figures were provided in the 1/6/84 OMR/DD correspondence. Title XX-Block Grant funds used for MR/DD-related services such as case management, foster care, or other programs offered by the New York Department of Social Services to various population groups in need, could not be identified. It should also be noted that it was because of OMR/DD initiative in the area of community-based Title XIX ICF/MR programs that the agency did not benefit from Title XX funds like many other states which relied heavily on this revenue source for community program development--in New York, the Title XX funds went to programs not capable of accessing Title XIX, such as various Department of Social Services programs for youth, the elderly, etc.

14. Other Federal Funds consist of the figures from the 1/6/84 OMR/DD correspondence and includes: 90% of "Non-resident fees" (see Note 8 above); and Developmental Disabilities Planning Council DD Program Funds (correspondence figures later supplemented by Ms. Sandy Pettinata, OMR/DD, telephone interview, 2/1/84).

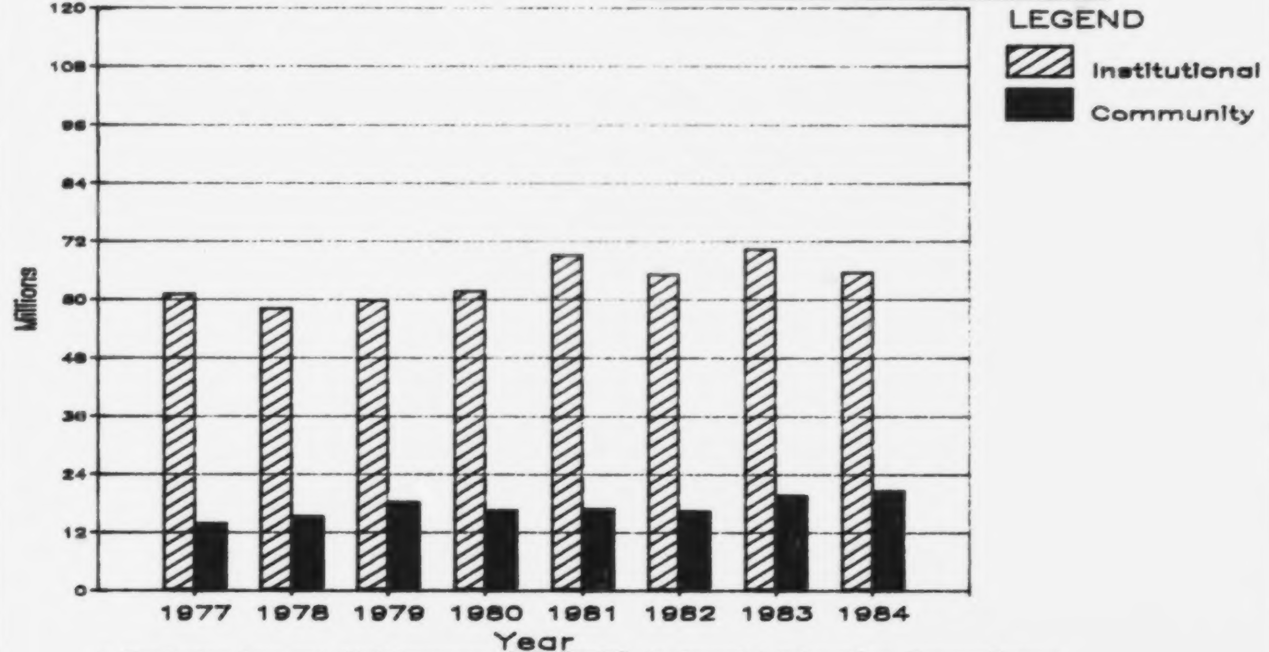
15. Private ICF/MR. These funds are calculated figures, based on deriving Federal Share amounts by the subtraction of OMR/DD-provided Institutional and Community Services Title XIX Federal Revenues from the HCFA-provided New York Federal Share ICF/MR figures. Once Federal-share Private ICF/MR figures were derived from this process (described in more detail in Note 7 above), we then applied New York's Federal/State ICF/MR matching percentages (obtained from HCFA) to calculate the State Funds share for each year.

NORTH CAROLINA
STATE PROFILE

NORTH CAROLINA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

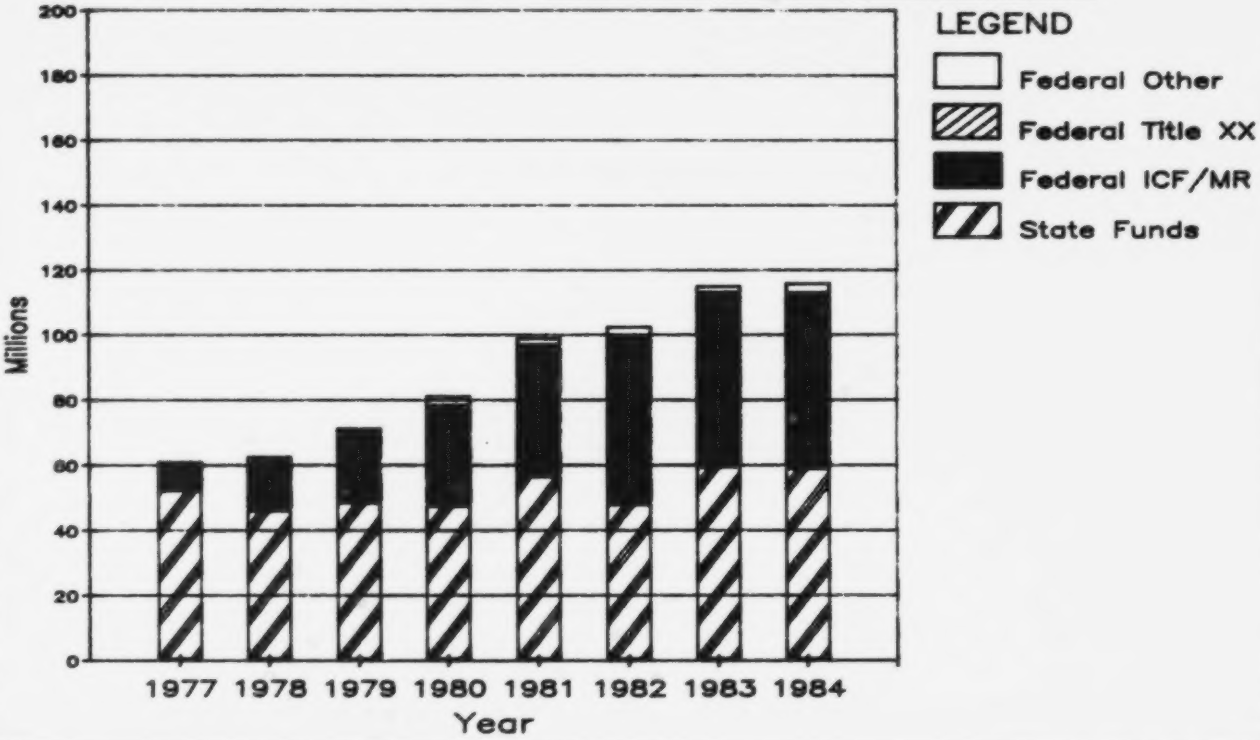


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

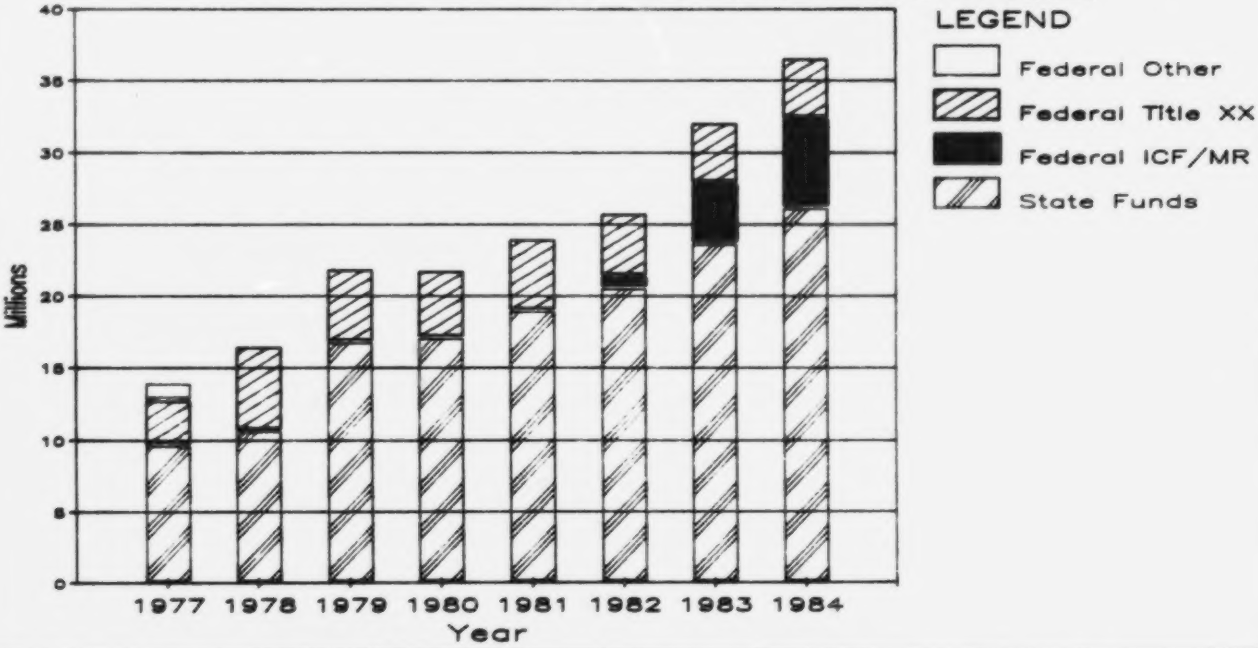
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH CAROLINA

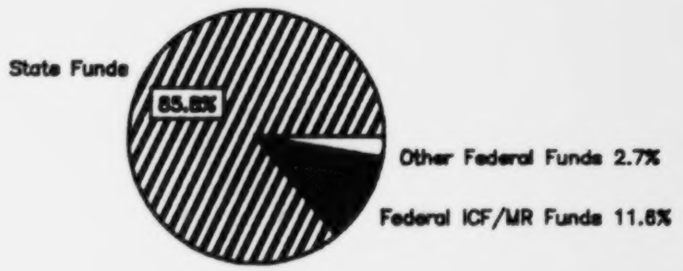
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



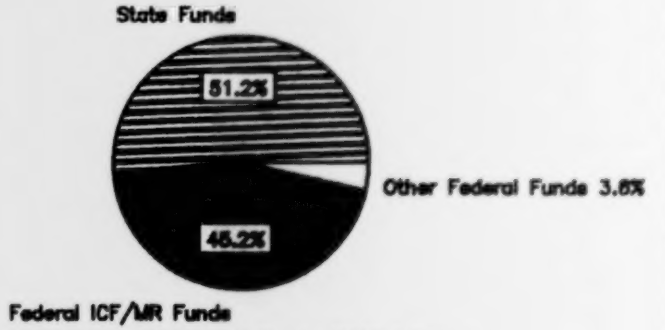
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



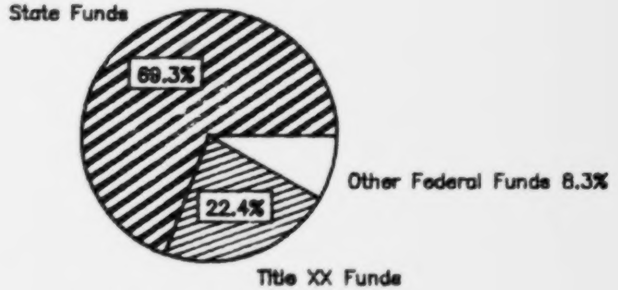
NORTH CAROLINA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



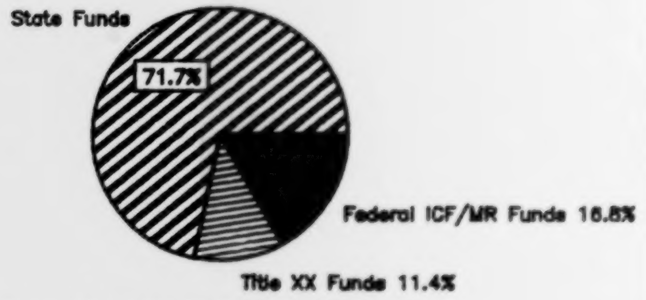
Institutional: 1977 Total Funds—$61.6 Million



Institutional: 1984 Total Funds—$116.4 Million



Community: 1977 Total Funds—$14.0 Million

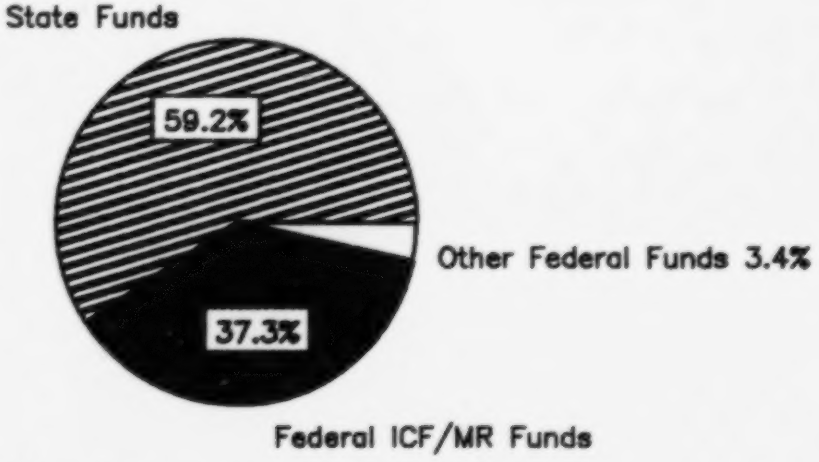


Community: 1984 Total Funds—$36.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

NORTH CAROLINA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

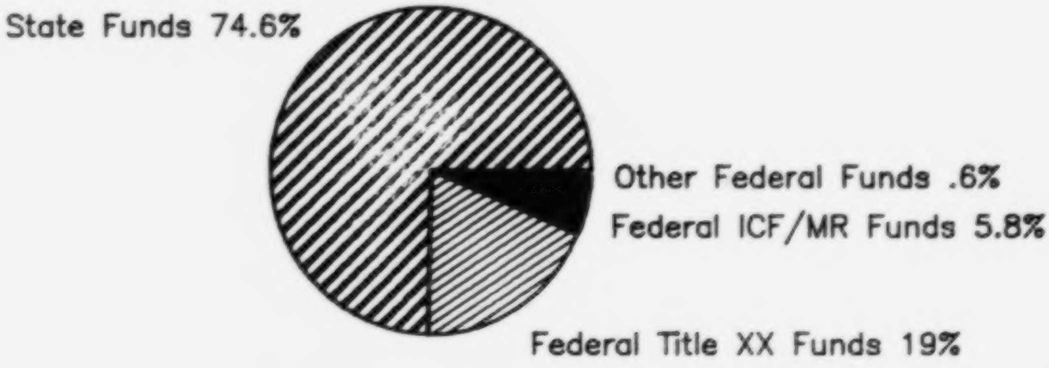
Institutional Services Funds



Total Institutional Dollars: $713 Million

Community Services Funds

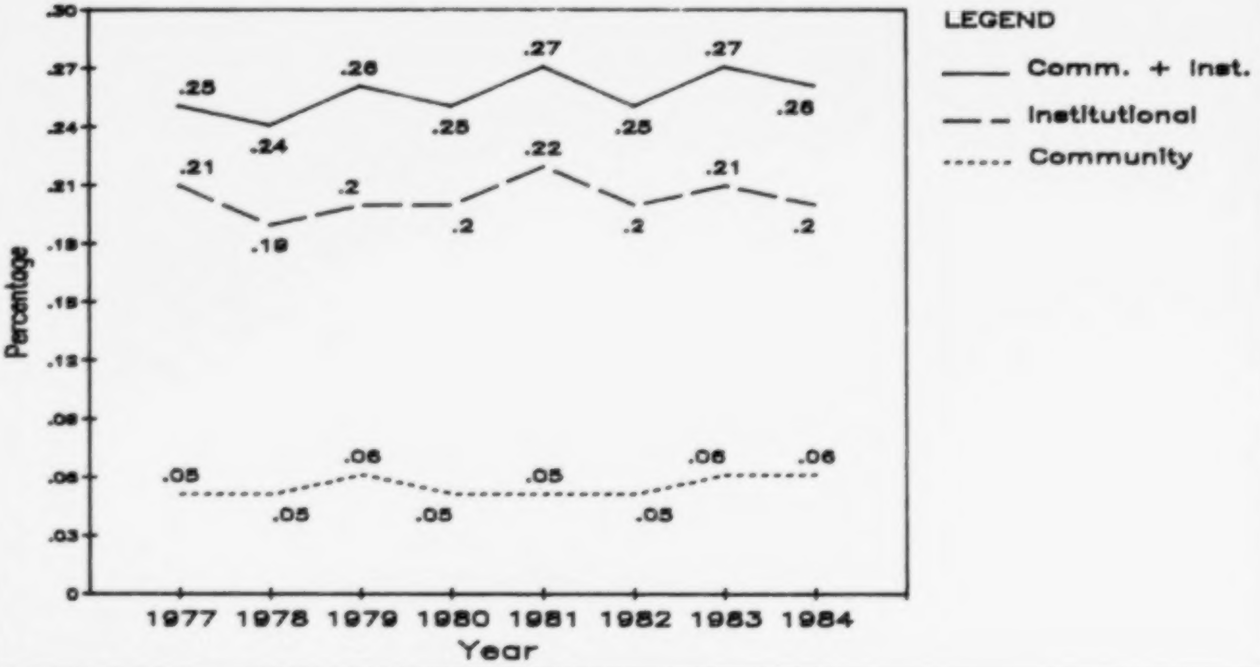
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



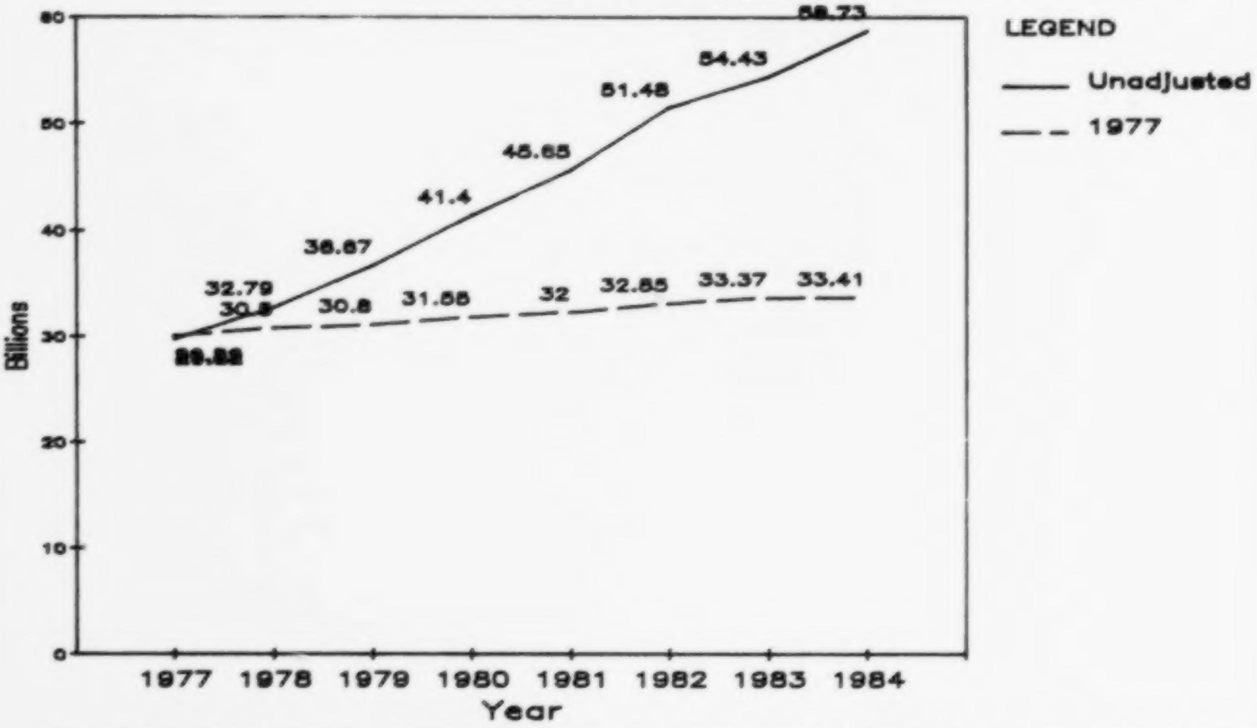
Total Community Dollars: $193 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH CAROLINA
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



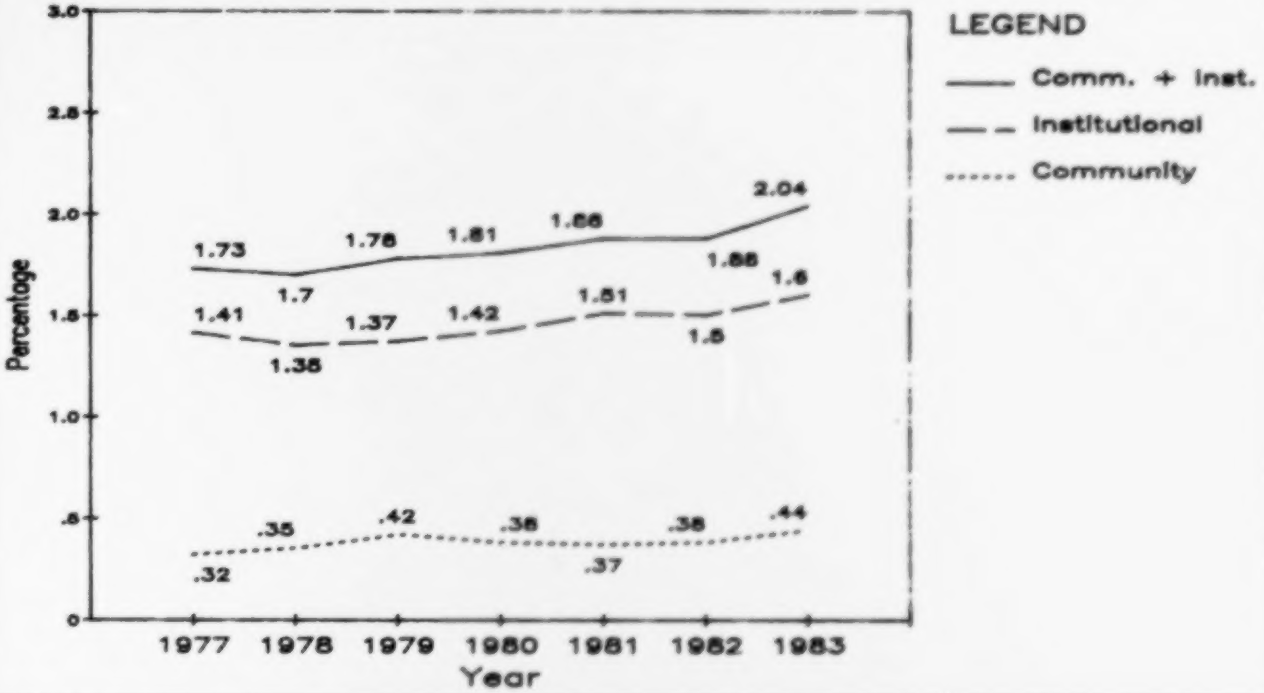
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



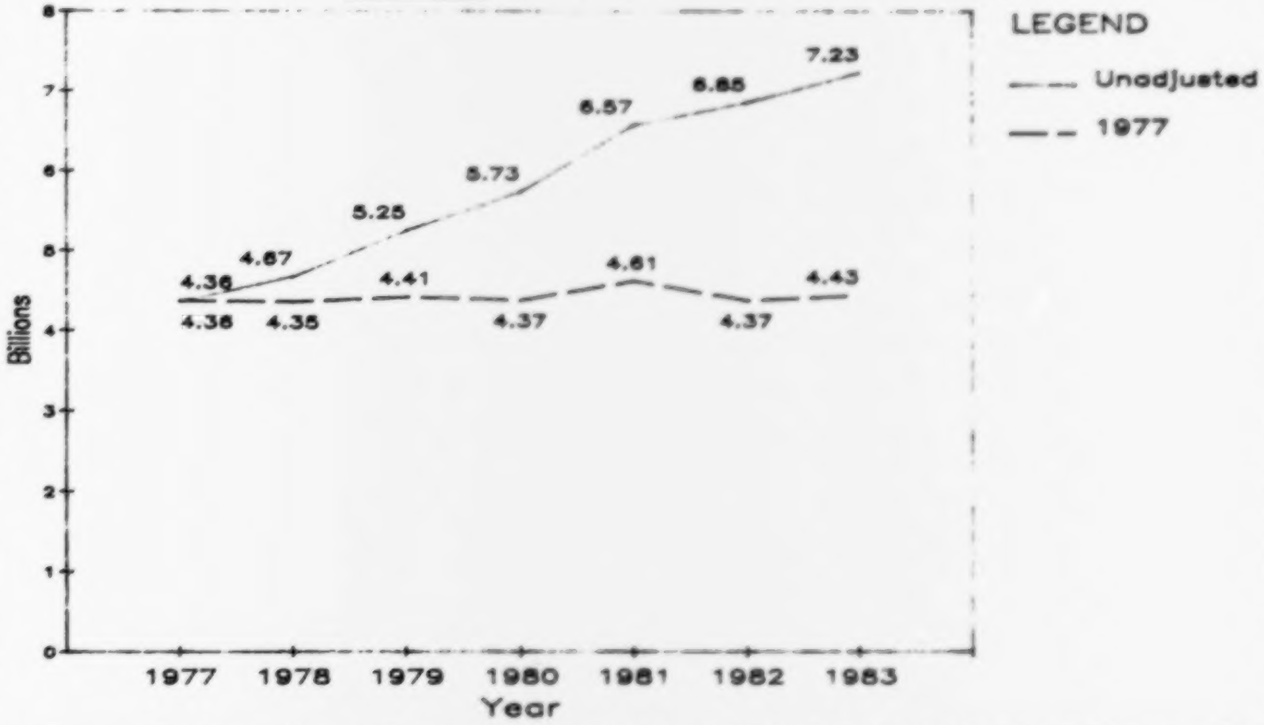
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH CAROLINA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



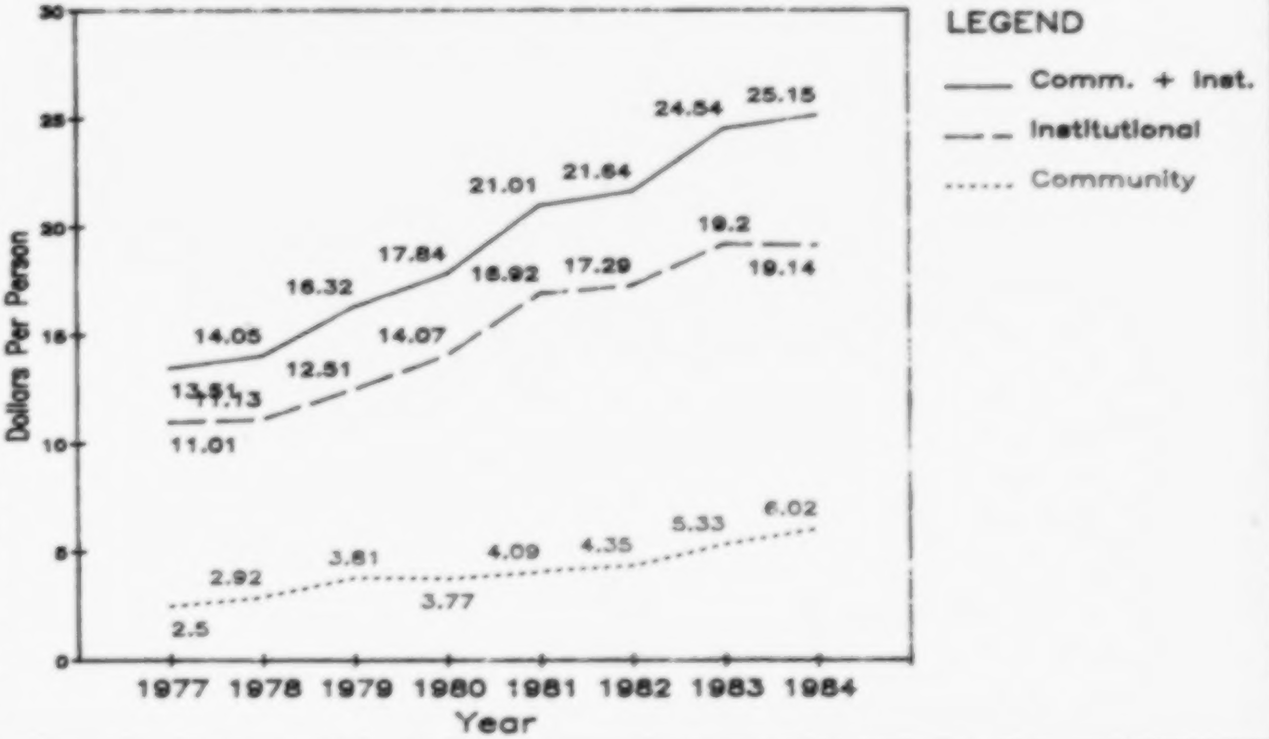
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



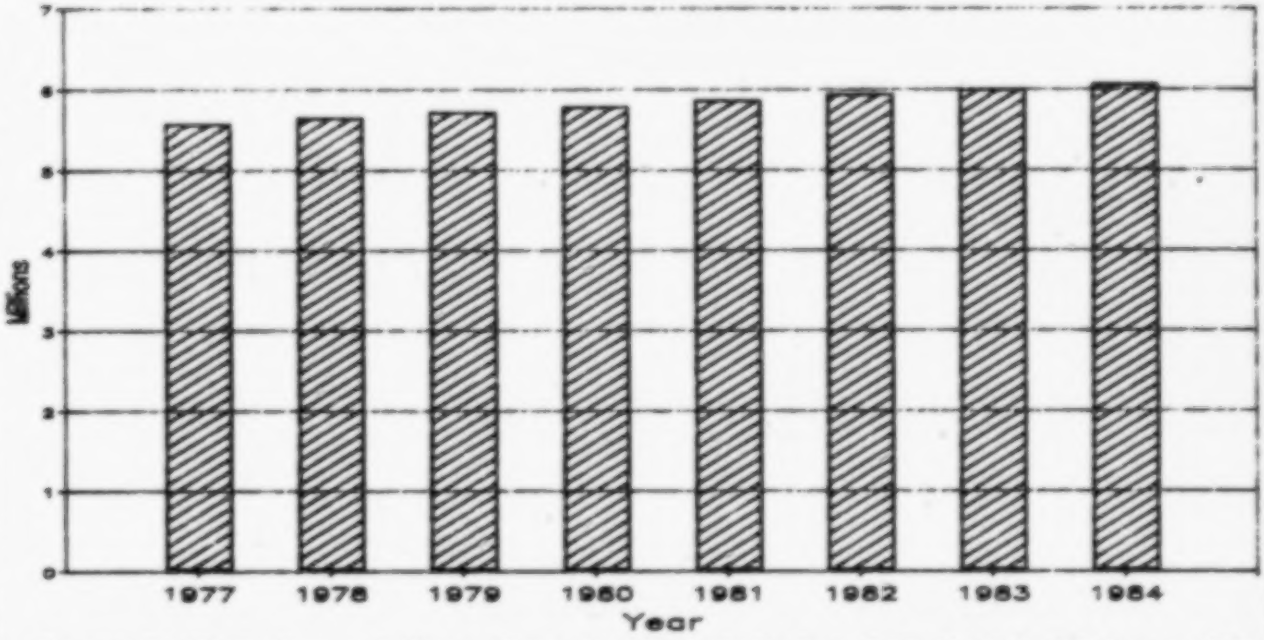
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH CAROLINA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

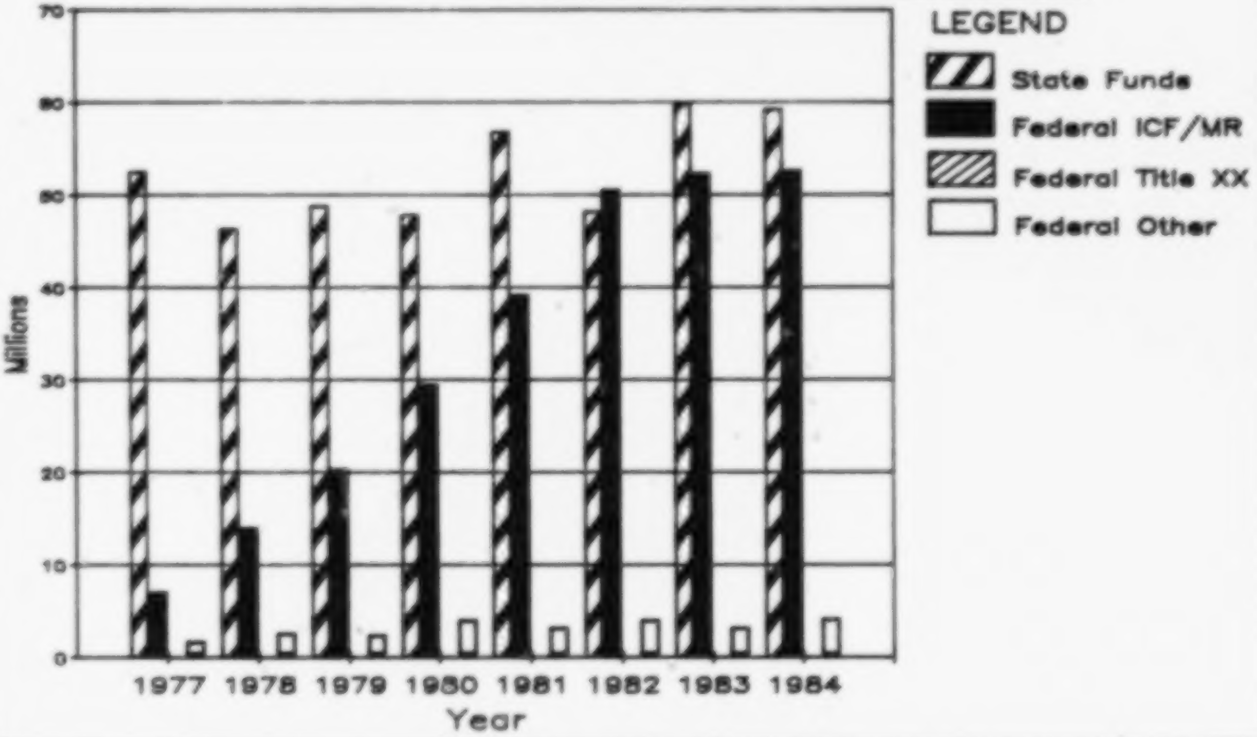


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

NORTH CAROLINA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



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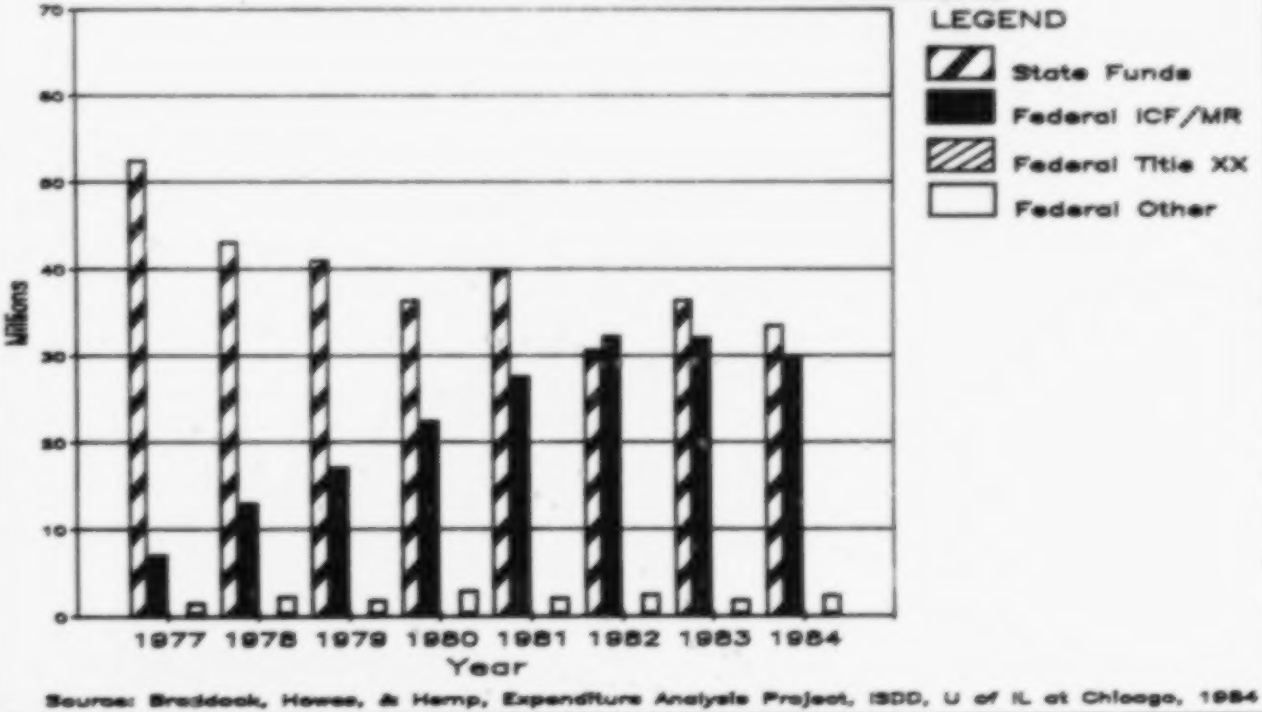

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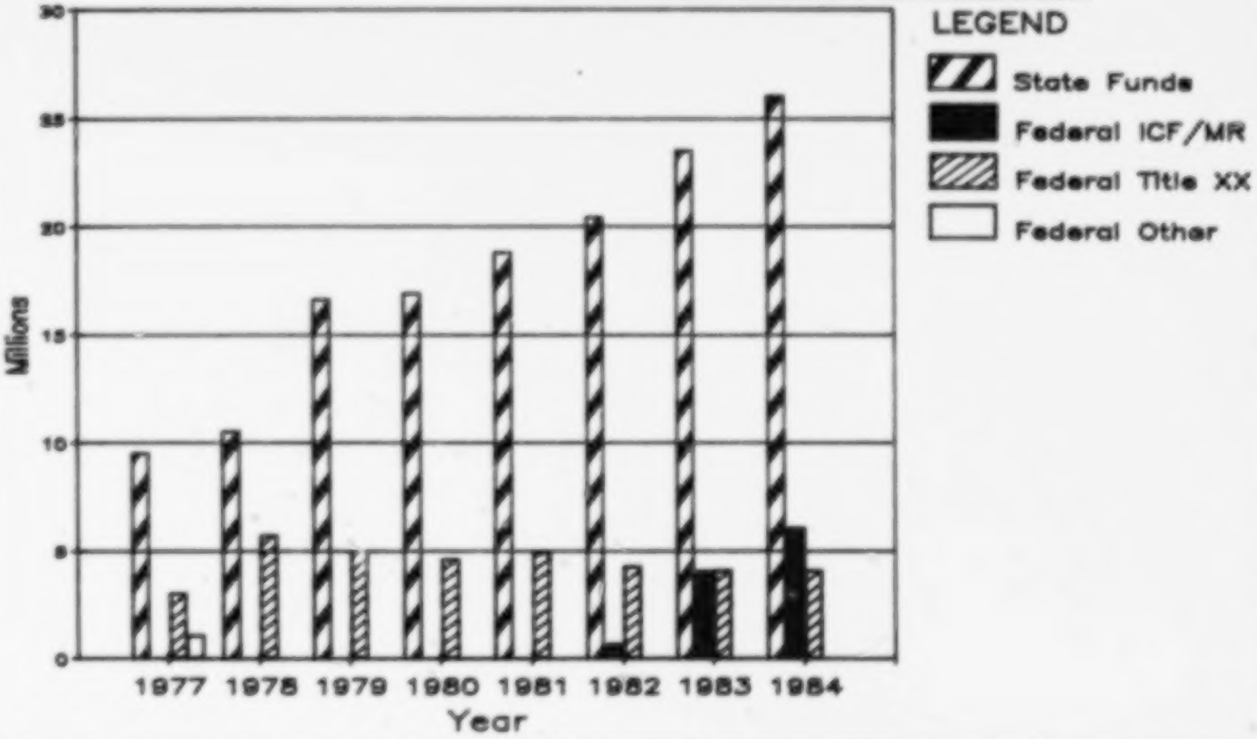

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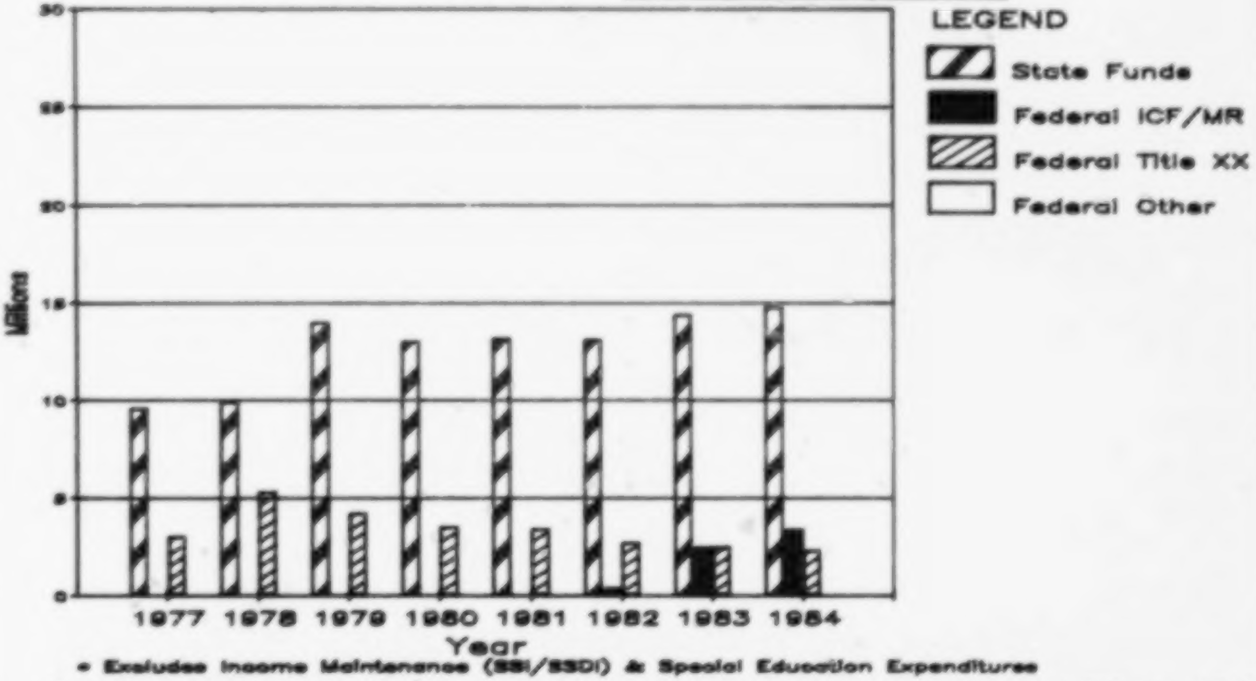

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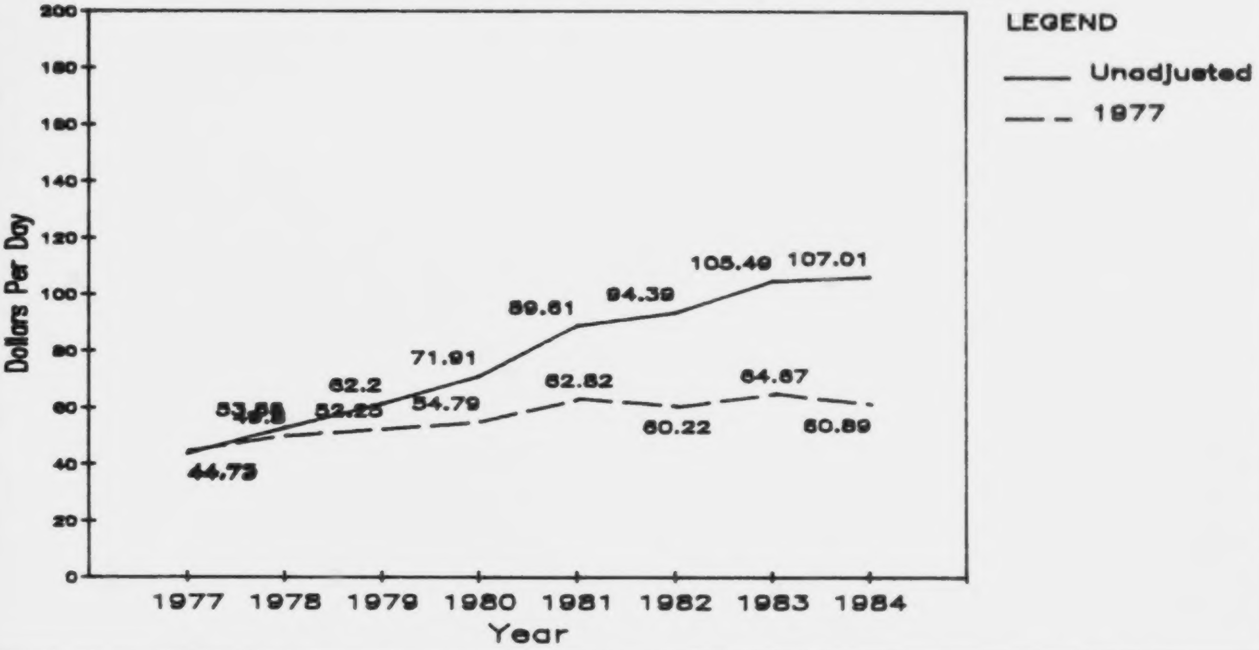
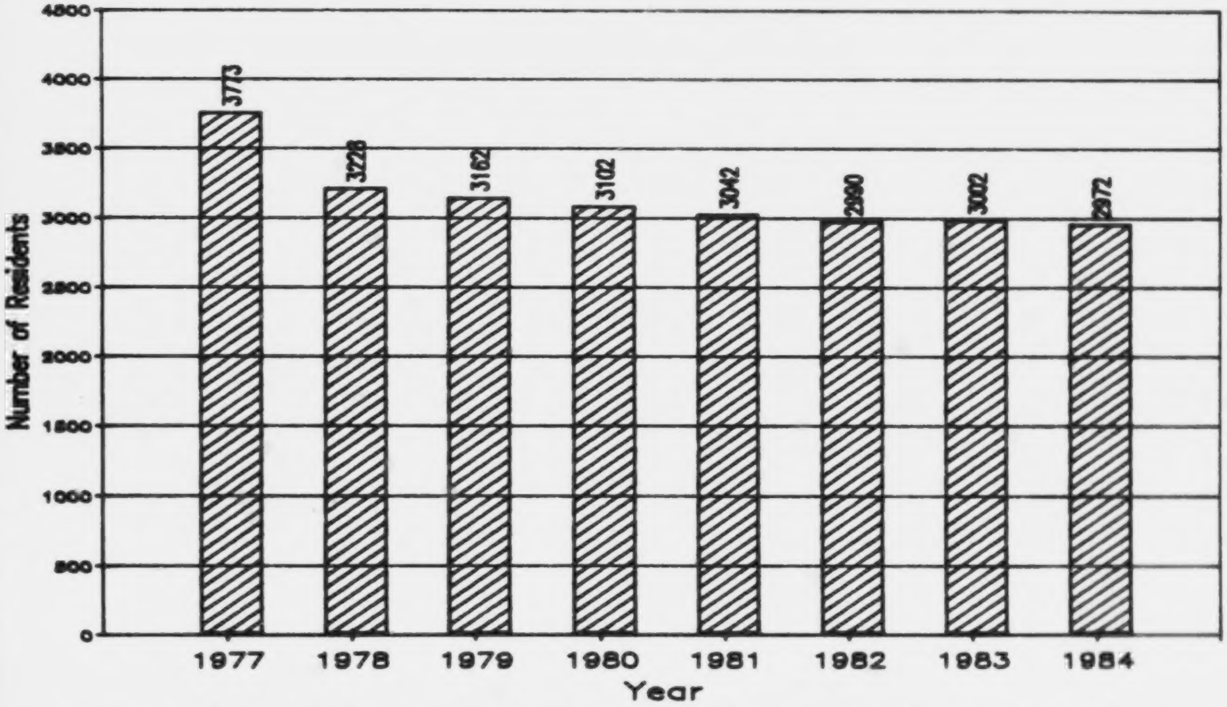


Average Daily Residents in Institutions
FY 1977–1984



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NORTH CAROLINA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Institutional and community services for the mentally retarded and developmentally disabled citizens of North Carolina are administered by the Division of Mental Health and Mental Retardation Services, Department of Human Resources.

2. Budget Format: North Carolina budget documents provided the following expenditure format:

DEPARTMENT OF HUMAN RESOURCES
  Estimated Receipts
  General Fund Appropriation

DIVISION OF MENTAL HEALTH, MENTAL RETARDATION AND SUBSTANCE ABUSE
  Estimated Receipts
  General Fund Appropriation

Institutional (listed separately: Western Carolina, O'Berry, Murdock, Caswell, and Black Mountain Centers)
  General Fund
  Estimated Receipts
    Federal
    Inter-agency Transfers
    Intra-agency Transfers
    Other
  [Special Fund-non-add]

Community Mental Retardation Services
  Title XX ("Other" in `77)
  Federal
  General Fund

Program Services and Administration-Mental Retardation Services
  Title XX
  General Fund

"The Budget" documents for North Carolina were reviewed for the FY `77-`79; FY `79-`80; FY `81-`83 and FY `83-`85 Biennia. The expenditure figures from the executive budgets were "authorized" sums in FY `77, `79, `81 and `83; "actual" in FY `78, `80, and `82: and "Recommended" in FY `84.

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of the expenditures for the Western Carolina, O'Berry, Murdock, Caswell and Black Mountain Centers (Black Mountain, FY `82 - FY `84 only). As indicated in Notes 5 and 6 below, computations were necessary to modify figures for certain subtotal fund sources found in the executive budget documents.

The executive budget documents provided average daily populations for the five centers (four centers FY `77-FY `81) and we have aggregated them as follows:

FY 1977 - 3,773
FY 1978 - 3,228
FY 1979 - 3,162
FY 1980 - 3,102
FY 1981 - 3,042
FY 1982 - 2,990
FY 1983 - 3,002*
FY 1984 - 2,972

(*Figures reflect transfer of Caswell Annex from Cherry Hospital to Caswell Center.)

4. State General Fund consists of the budget documents' "general fund appropriation" figures, aggregated for the five centers (four centers, FY `77-`81--see Note 3 above).

5. Other State Funds is a figure we calculated, based on supplementary information from the Department of Medical Assistance and from Division of MH/MR officials. These funds consist primarily of the Title XIX State Match, representing the reconciliation between the Department of Medical Assistance and the Division of MH/MR in each year's Title XIX ICF/MR Federal receipts (see Note 6 below). Also included are proceeds from the sale of products at facilities, insurance benefits, and "family and fiduciaries" payments.

6 Title XIX. The budget documents apparently reported Federal Share Title XIX figures for each center. These figures were aggregated to produce Institutional Services totals. However, the Department of Medical Assistance (Ms. Daphne Lyon in a 10/7/83 telephone interview), provided "Institutional Federal Share ICF/MR" figures (FY `78-`84) which were significantly less than the Division of MH/MR budget document figures. It was concluded, after a telephone interview (10/7/83) with Mr. Jim Edgerton, Division of MH/MR, that the MH/MR Division's executive budgets reported both Federal and State shares. Therefore, our computations involved: a) subtracting the Department of Medical Assistance figures from the Division of MH/MR Title XIX figures; b) adding the balance (the state ICF/MR match) to the Other State Funds figures which had been aggregated from the budgets of the five centers; c) entering the Department of Medical Assistance figures as Title XIX Federal Funds in our analysis.

7. Other Federal Funds consists of the aggregate of Federal Funds other than Title XIX for the five centers (four centers FY `77-`81) reported in the budget documents. These funds are primarily ESEA Titles, resident Federal entitlement funds (Social Security, Veterans Administration--CHAMPUS), and School Lunch Program funds.

III. COMMUNITY SERVICES

8. Community Services consists of the figures from the budget documents entitled "Community-based Services Element--Mental Retardation Services" and "Program Services-MRS."

9. Other State Funds consist of "Other" as reported in the budget books for FY `78-`79, for the "Community-Based Services" and "Program Services" elements.

10. Title XIX. According to the Department of Medical Assistance (Lyon, 10/17/83), the Community Care Waiver for mentally retarded and developmentally disabled individuals in North Carolina was in effect 7/1/83 with an initial twenty individuals receiving services; however, no claims had yet been paid, and there are no expenditures reflected at this time in our analysis.

11. Title XX consists of the lines in Community-based Services Elements- MR Services, and Program Services-MRS designated "Departmental Receipts" (FY `77) and "Title XX" (FY `78 -`84).

12. Other Federal Funds for FY `77 consists of the budget document figures under "Community-based Services Elements-MRS" entitled "Federal."

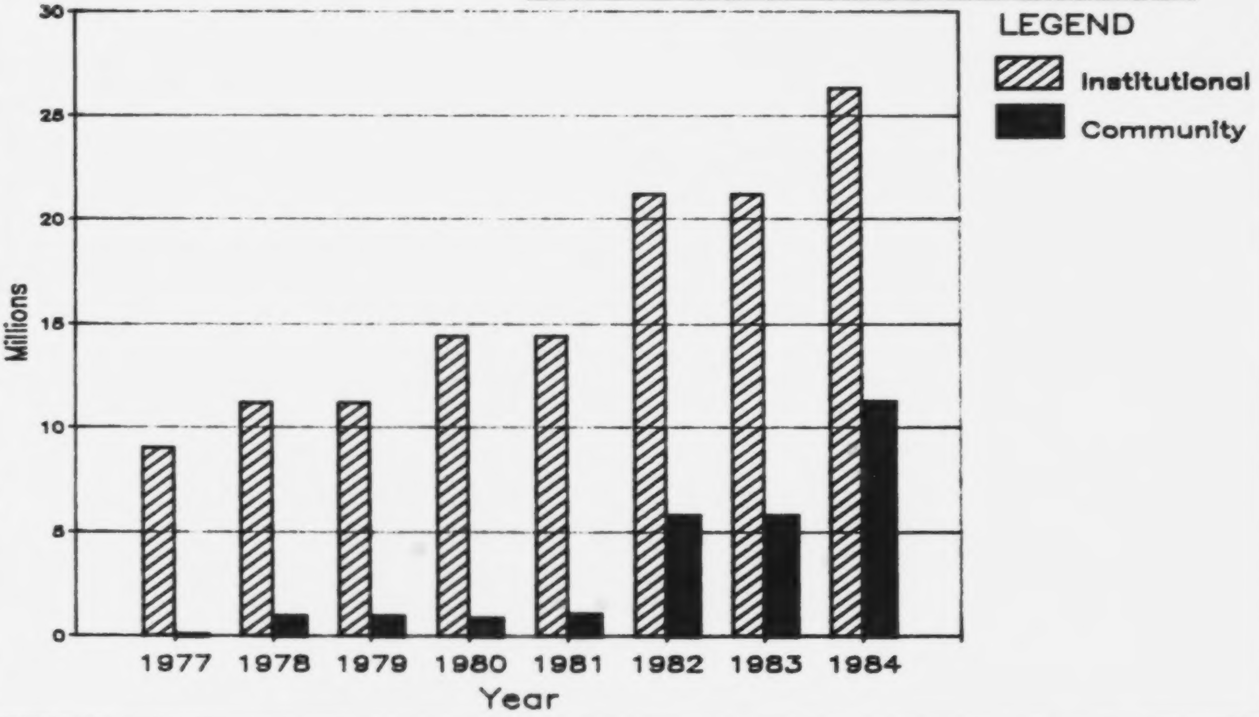
13. Private ICF/MR consists of the figures reported 10/7/83 by Lyon. Included in these figures are expenditures for small (fifteen beds or less), private ICF/MR programs (dollars in thousands):

	FY `83	FY `84
Federal	559	670
State	262	315
Total	$ 821	$ 985

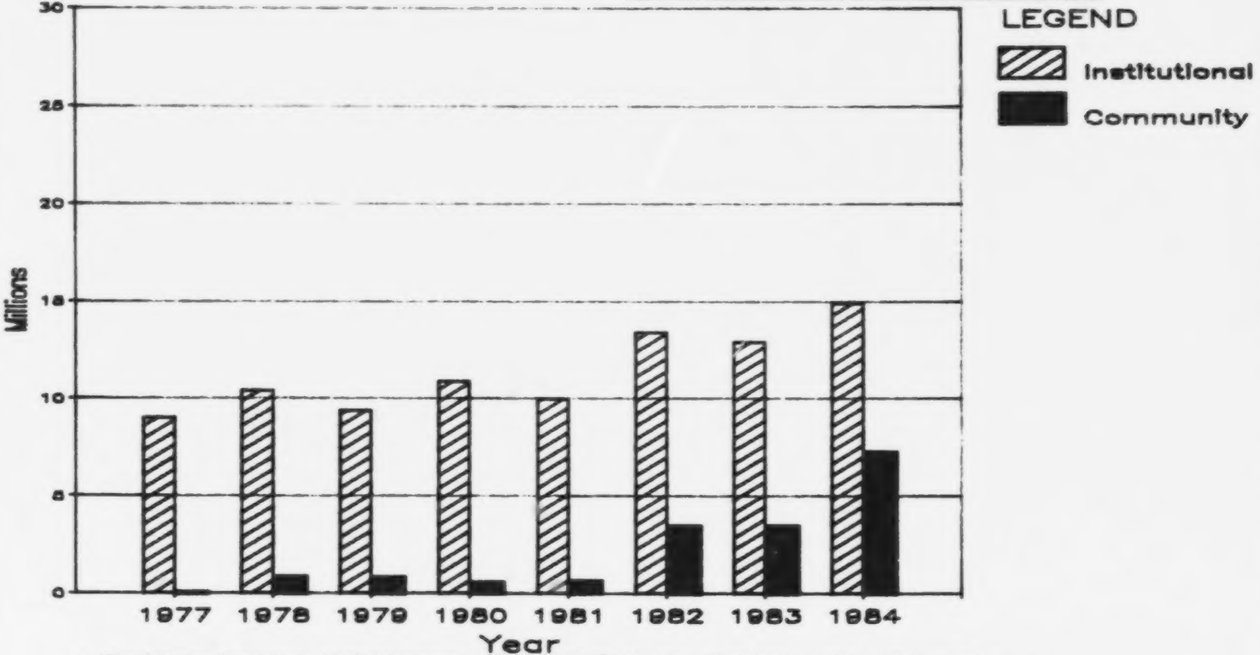
(FY `84 is estimated by the study at 120% of FY `83 at the recommendation of Ms. Lyon).

NORTH DAKOTA
STATE PROFILE

NORTH DAKOTA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

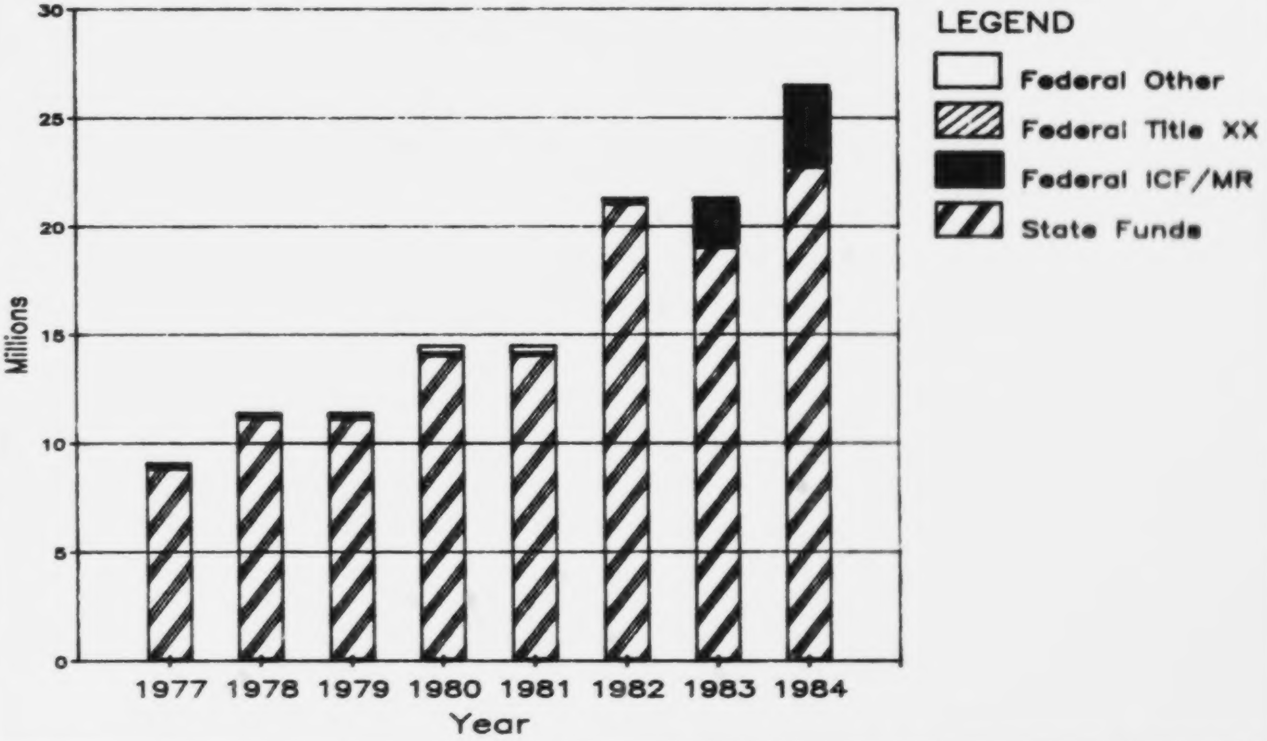


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

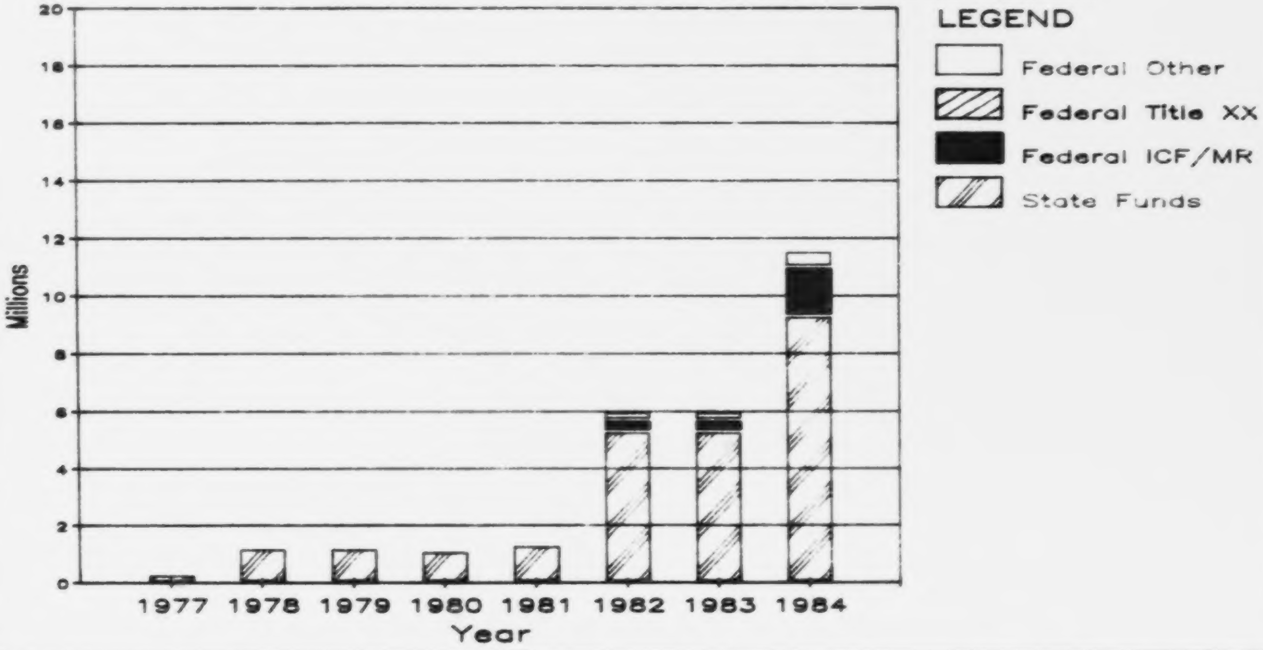
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA

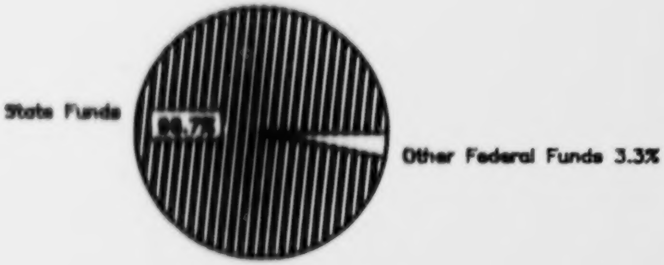
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



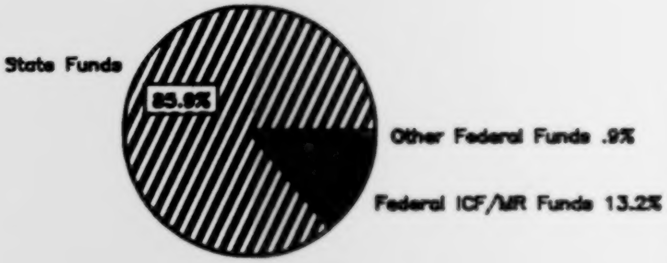
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



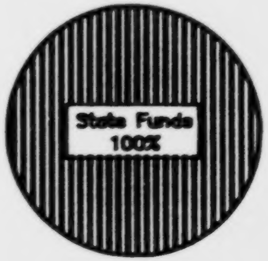
NORTH DAKOTA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



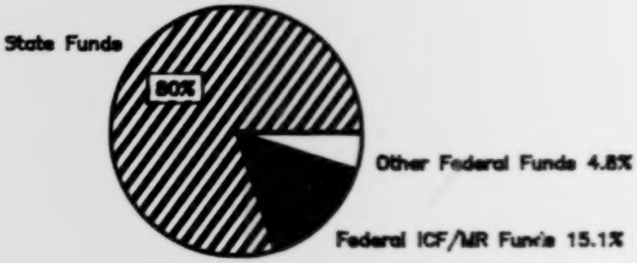
Institutional 1977: $9.2 Million



Institutional 1984: $28.5 Million



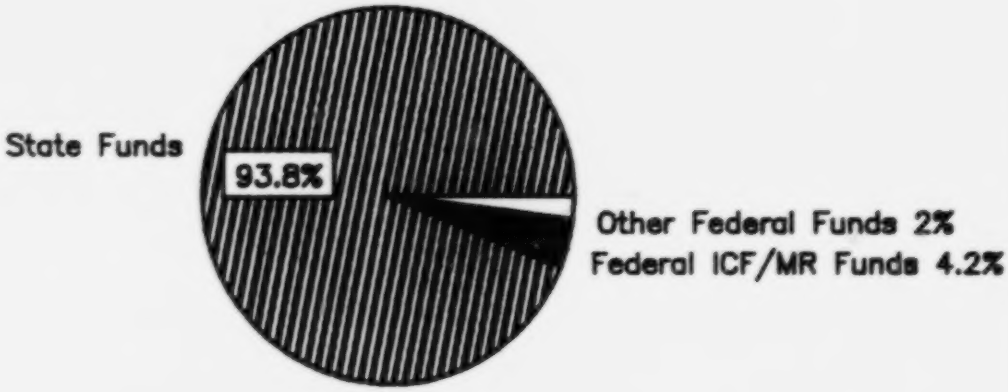
Community 1977: $321 Thousand



Community 1984: $11.5 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

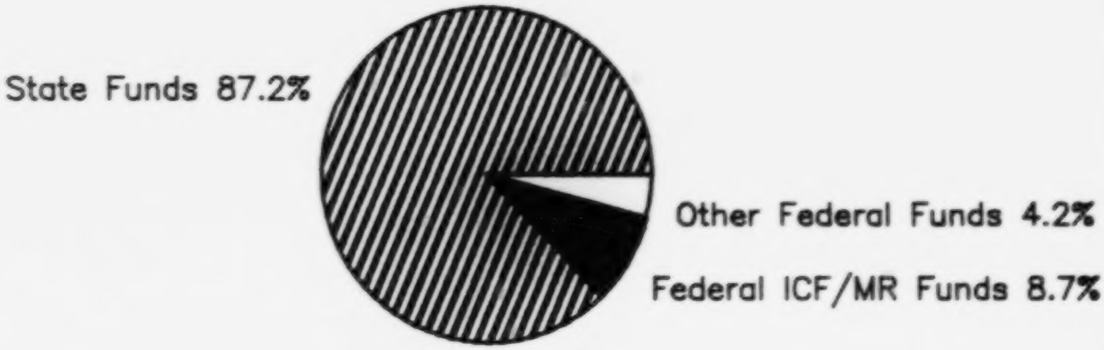
NORTH DAKOTA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional: $131 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

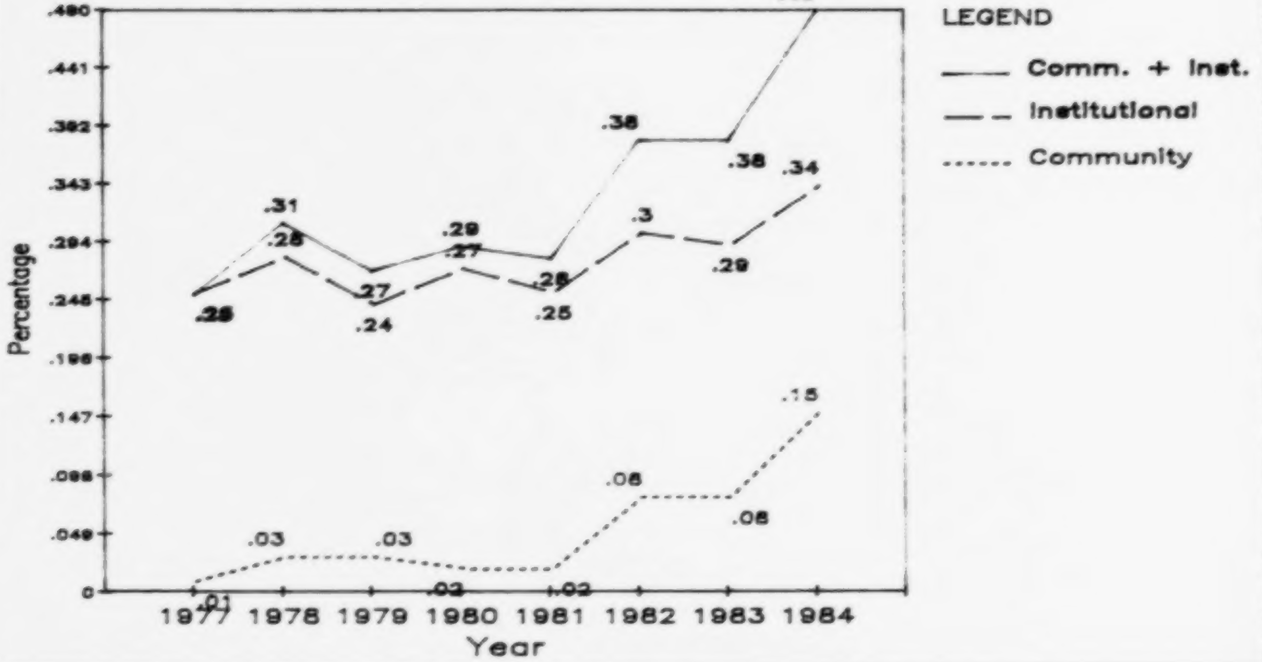


Total Community: $29 Million

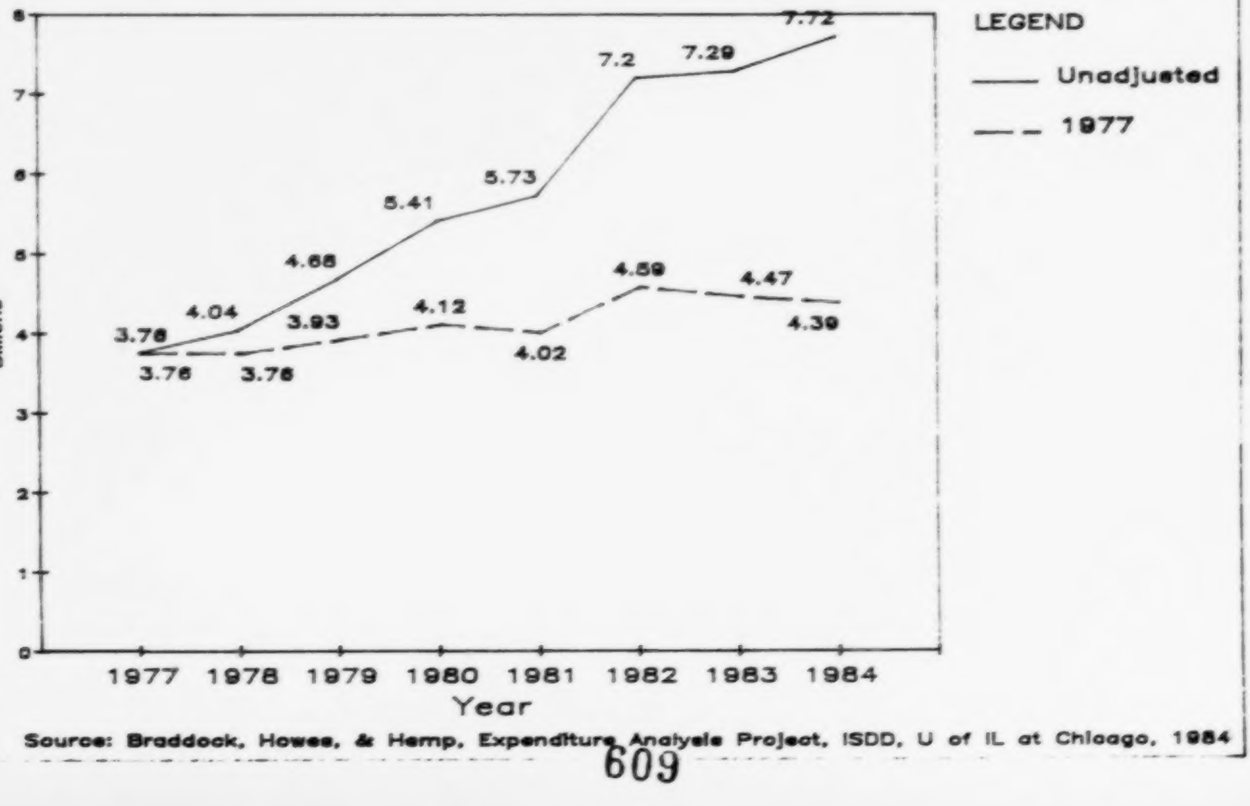
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



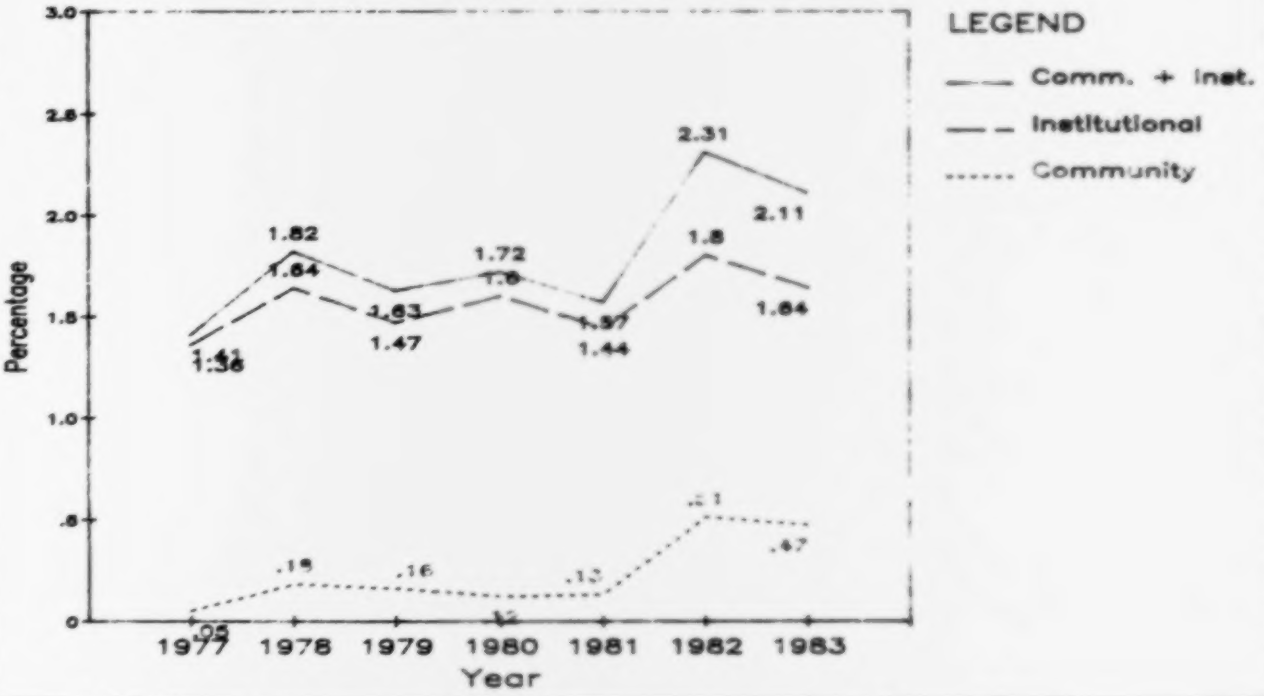
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



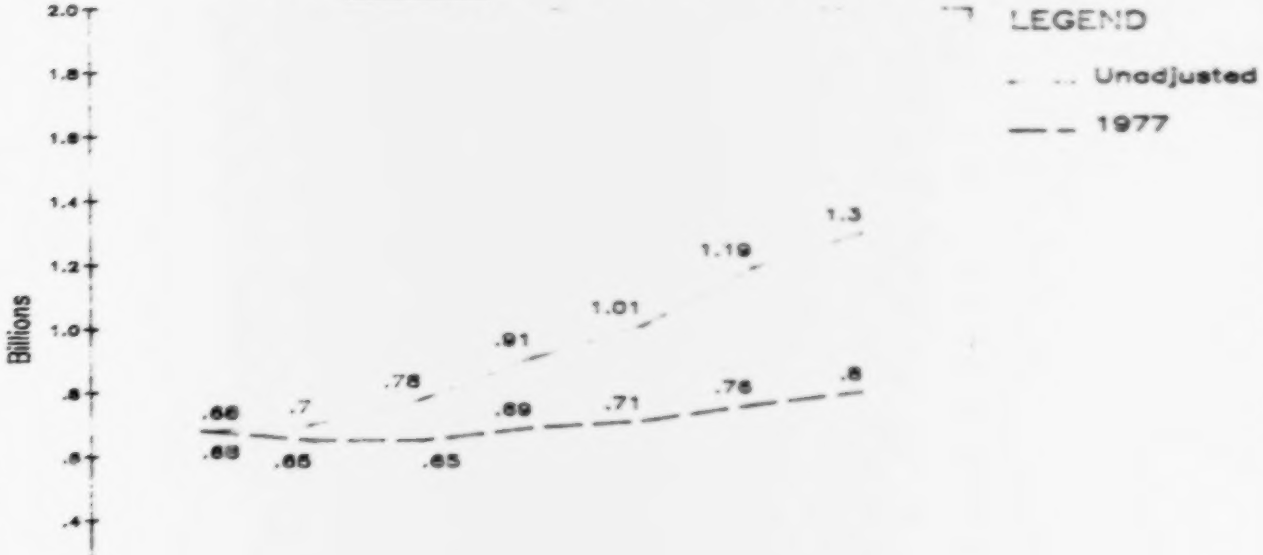
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



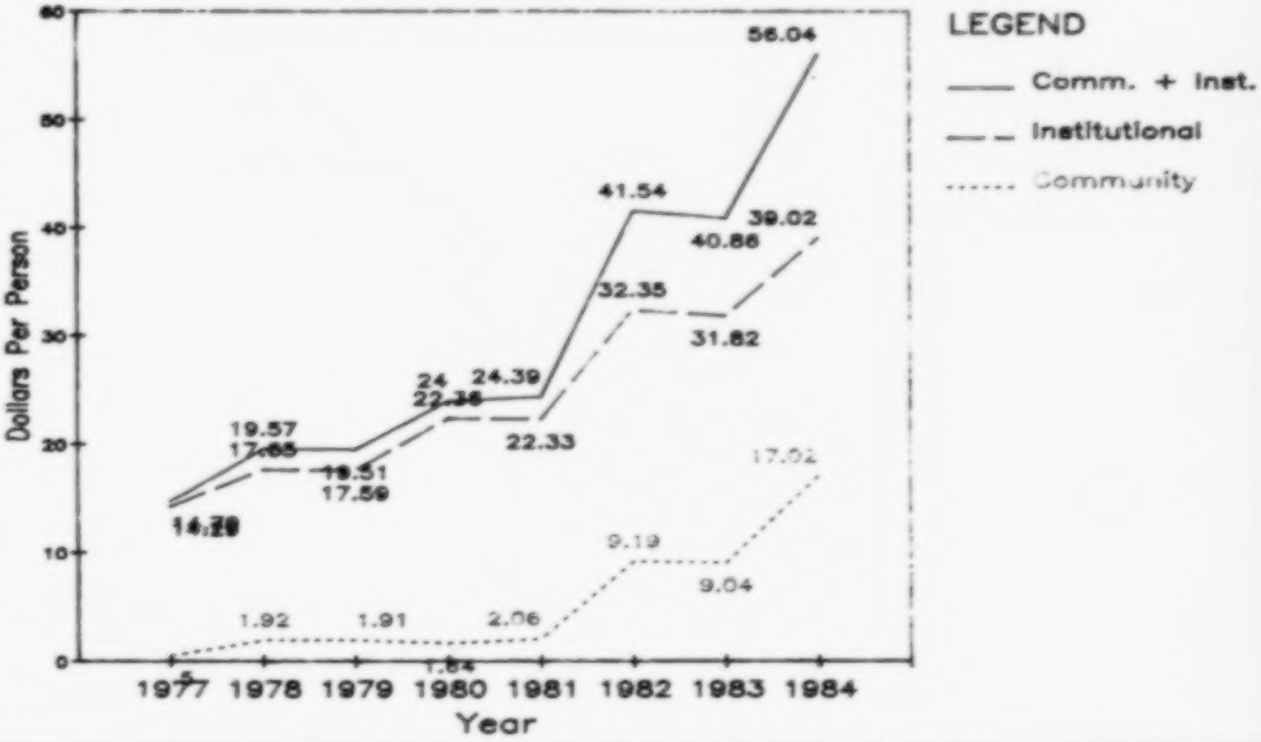
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



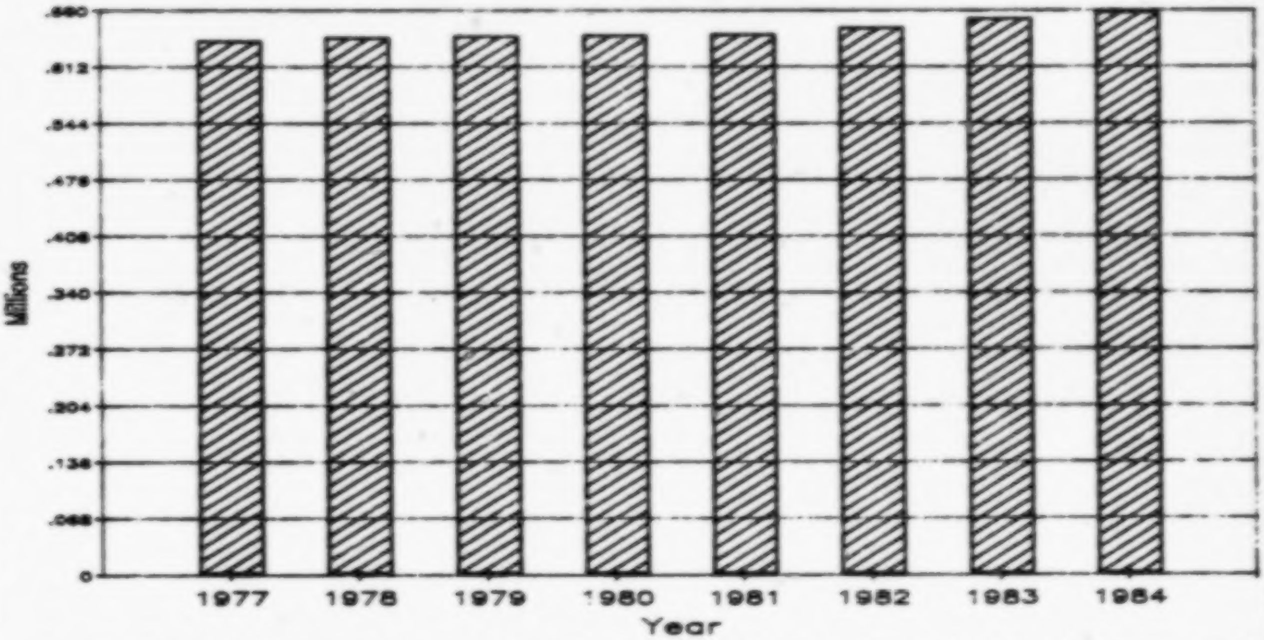
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984

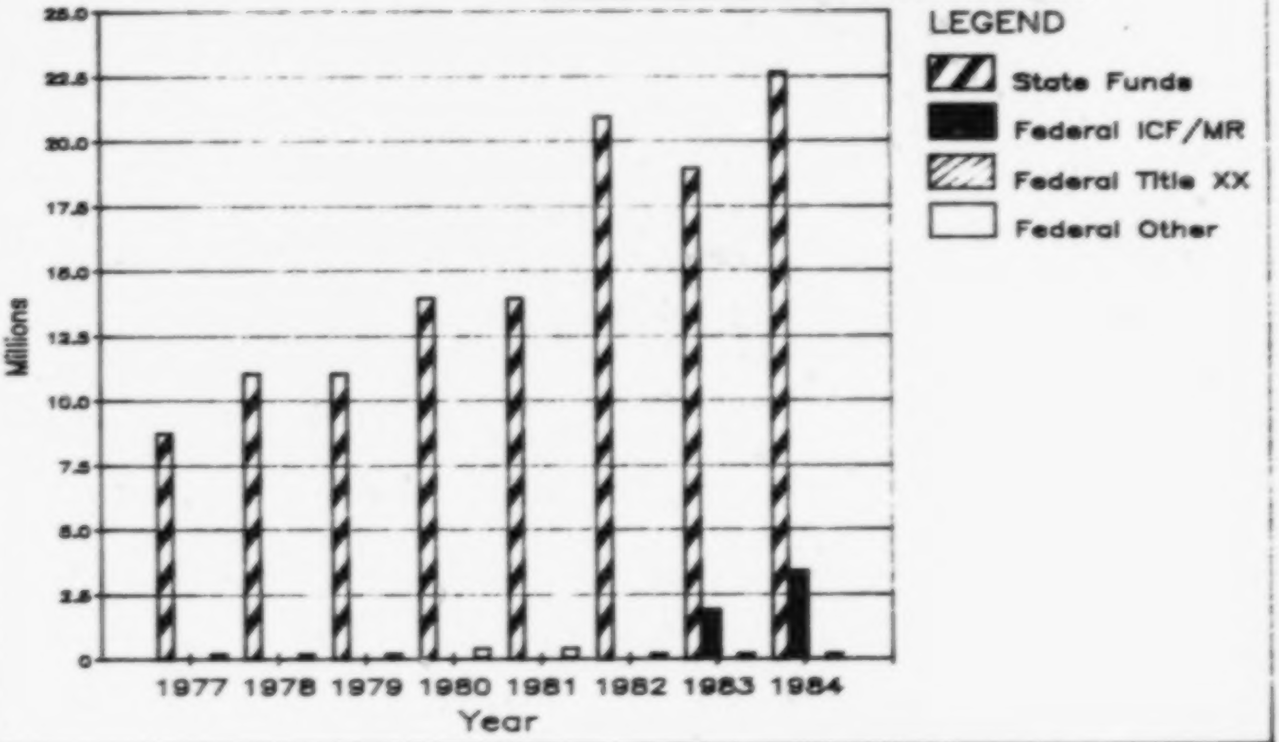


The Total State General Population FY 1977–1984

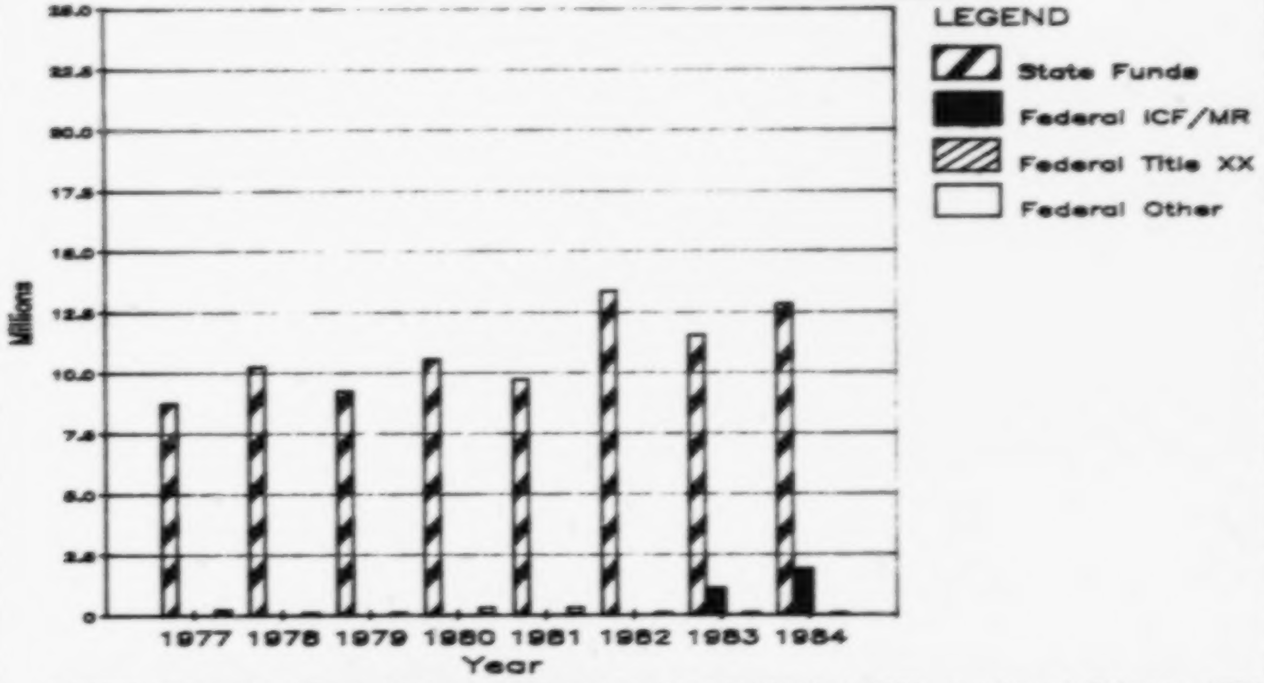


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

NORTH DAKOTA
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

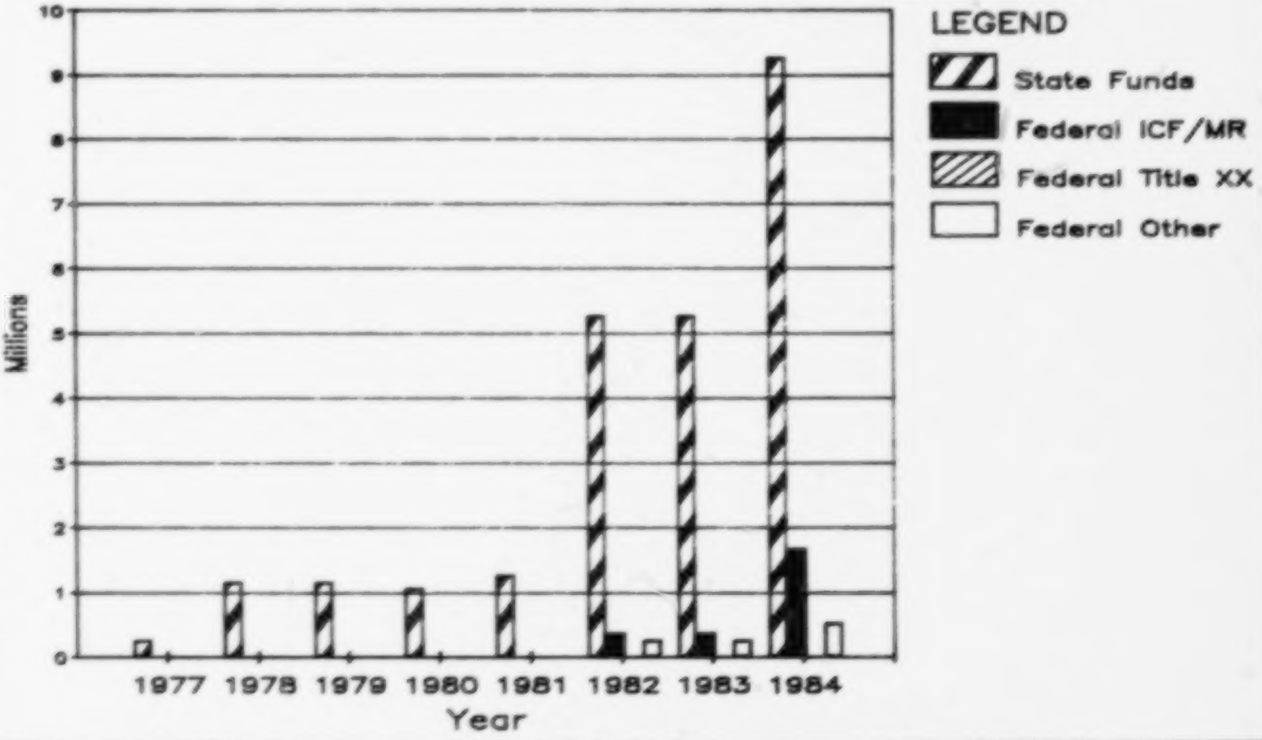


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

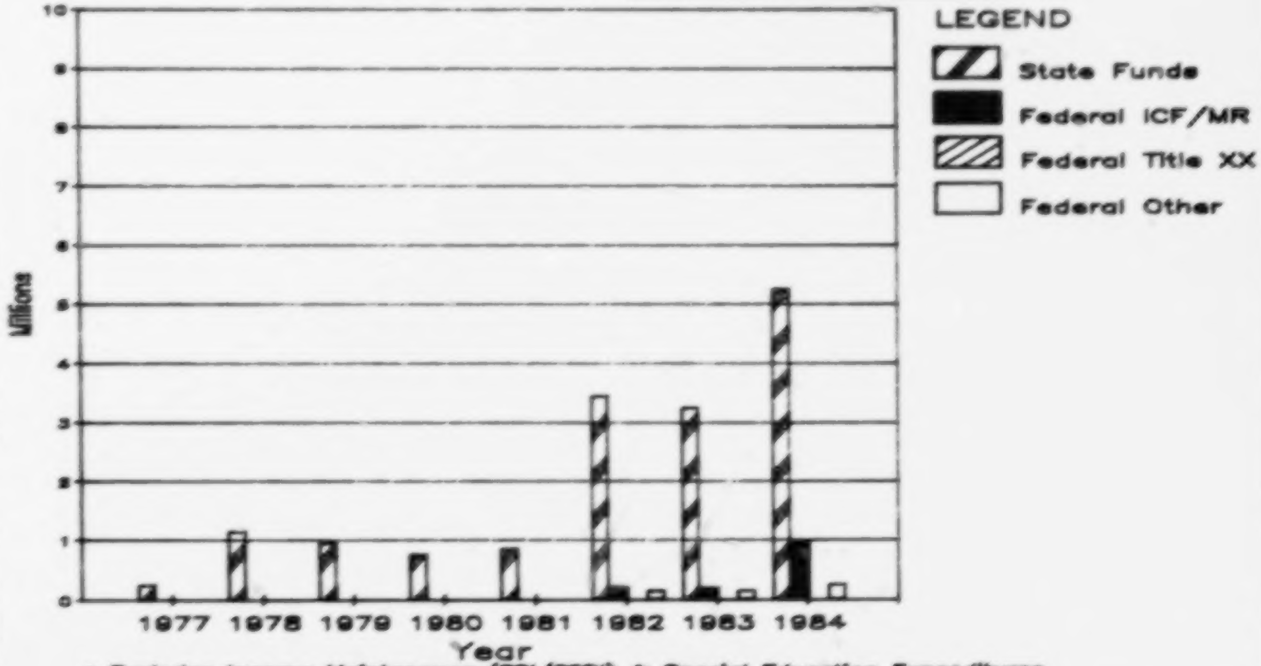
NORTH DAKOTA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



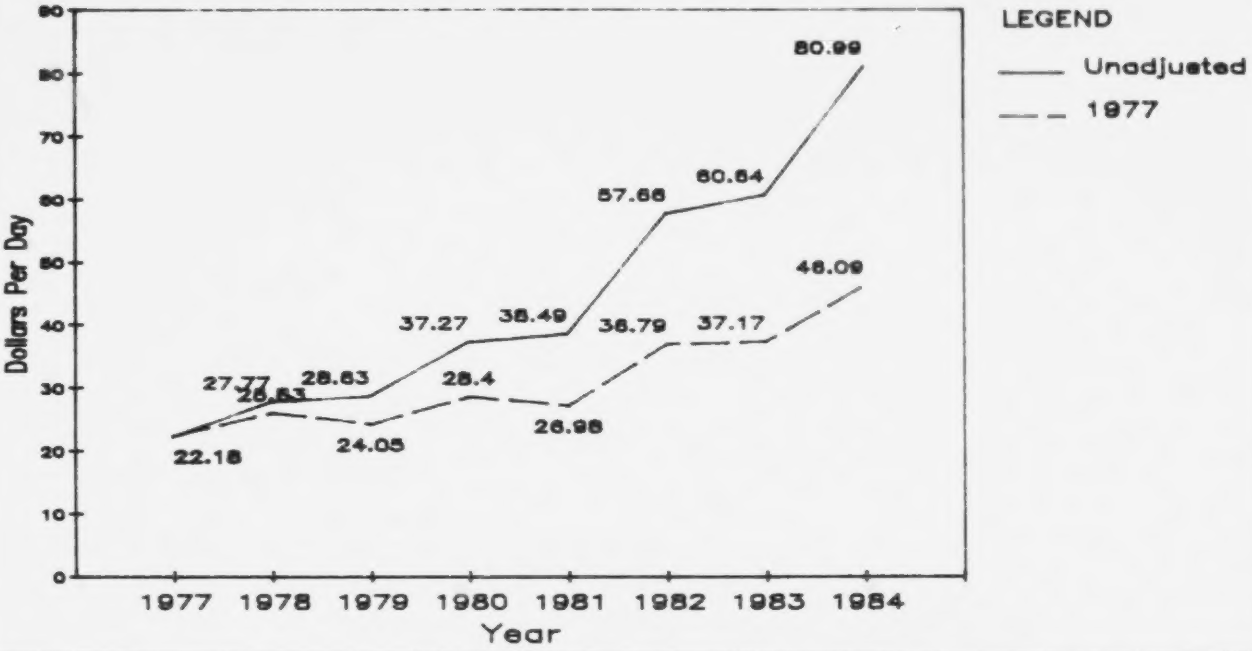
FY 1977–1984, *In 1977 Dollars*



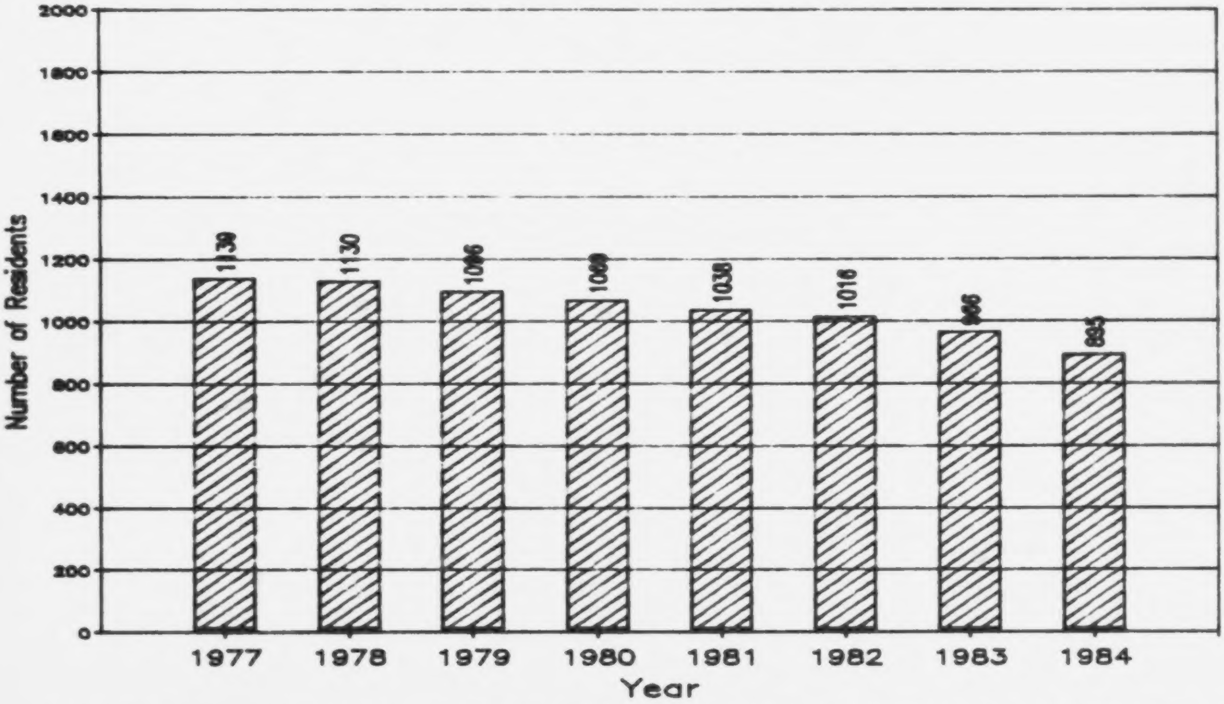
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

NORTH DAKOTA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Institutional Services for the mentally retarded and developmentally disabled citizens of North Dakota are provided at two facilities, Grafton and San Haven State Hospitals. They are administered by the Director of Institutions. Community services are administered by the Division of Developmental Disabilities, within the Department of Human Services. From FY `77-FY `81, Community Mental Retardation Services were within the State Department of Health. "Community-based Care" funds and the Developmental Disabilities Services at the State's eight Human Service Centers came under the administrative direction of the Department of Human Services as of January 1, 1982.

2. Budget Format: Our interpretation of the General format for North Dakota's MR/DD institutional and community services, from budget components as indicated in North Dakota Executive Budget documents, is as follows:

   Grafton/San Haven
      Federal
      General
      Other
   Director of Institutions (General Fund)
   DI. Count Monitoring (General Fund--FY `84 only)
   Conference Committee, Grafton/San Haven
      Federal
      General
   Community-based Care (FY `82-`84 only)
      Federal
      General
      Other
   Human Service Centers ("DD" lines)
      Federal
      General
      Other
   State Department of Health (MH/Retardation)--General Fund

3. Note on Data Sources: North Dakota Executive Budget Summary documents were reviewed for the FY `79-`81, FY `81-`83, and the FY `83-`85 Biennia. These documents provided "expenditure past biennium" figures for FY `77- `79 (note: to obtain annual figures, any biennium figures are divided by two in our analysis); "first year expenditure" figures for FY '80; a "balance present budget" set of figures for FY `81; and "Executive Recommendation" figures for FY `82 and FY `83, and for the FY `84-`85 Biennium. In 8/1/83 correspondence from Darvin Hirsch, Ed.D., Director of Developmental Disabilities, "Estimated 1981-`83 Budget" figures for Grafton/San Haven, and for "Grafton--Deinstitutionalization" were received and incorporated into the analysis.

   In addition, this correspondence (and subsequent 10/15/83 correspondence) contained figures for the Human Service Centers (Regional Offices) for FY `82-`83 and "Community-based Care" expenditure figures, also for FY `82-`83. Finally, FY `84 figures were obtained from Appropriations Bill (SB 2009) as described in Note 3 above.

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of expenditures for Grafton and San Haven State Schools. The FY `81 figures are from the budget documents, and the FY `82-FY `83 figures are from Dr. Hirsch (8/1/83 and 10/15/83

correspondence). The FY `84 figures are from Senate Bill 2009, Appropriations Committee (the FY `84-`85 Biennium Appropriations Bill). These Appropriations Bill figures were organized as follows, to correspond to our analytic format:

a) Grafton and San Haven and "Grafton-DI" total projected expenditure figures for FY `84-`85 were summed: $61,829,100

b) A "budget adjustments" amount of $150,000 reported in the Senate Bill was then subtracted from the FY `84-`85 total: $61,679,100

c) A capital improvements amount of $8,615,700 reported in the Bill for the two facilities was subtracted: $53,063,400

d) The remaining figure was divided equally to estimate FY `84 and `85 annual figures, thus providing Institutional Services totals for FY `84 on the Analysis: $26,531,700.

The FY `82-`83 figures were obtained from Hirsch's 8/1/83 and 10/15/83 correspondence:

a) A capital figure of $13,800,000 was subtracted from the Grafton/San Haven totals for the Biennuim.

b) The figure was divided to estimate FY `82 and `83 yearly totals.

The combined "average daily population" figures for the two facilities are:

FY 1977 - 1,139
FY 1978 - 1,130
FY 1979 - 1,096
FY 1980 - 1,069
FY 1981 - 1,038
FY 1982 - 1,016
FY 1983 - 966
FY 1984 - 895 (projected)

(Sources: Ms. Claire Mahovsky, Grafton and Ms. Diane Waliezer, San Haven, telephone interviews, 5/21/84.)

4. State General Funds figures are from the published budget documents, except for the FY `82-FY `84 figures which are from the documents noted in #3 above (termed "General Revenue").

5. Other State Funds figures were computed in the following manner. Total Institutional Services expenditures, less State General Funds, Title XIX Federal-share funds, and Other Federal Funds leaves Other State Funds, as the remainder.

The following demonstrates the derivation of Other State Funds amounts in FY `84. All figures are from SB 2009, except the Title XIX figure obtained from Medical Services--see Note 6 below:.

Derivation of Other State Funds - FY `84 ($ in thousands)

Grafton/San Haven and Grafton DI Total	$26,531.7
General Revenue	$14,529.1
Other Federal, Grafton/San Haven	$ 251.5
Title XIX, Federal Revenue	$ 3,500.0
Remainder--Other State Funds	$ 8,251.1

Note: The FY `82 and FY `83 figures for Other State Funds were provided in the 10/15/83 correspondence from Hirsch. The FY `77 -FY `81 figures are from published budget documents.

6. Title XIX. The FY `83 Title XIX Federal revenue figure for Grafton and San Haven was estimated by Darvin Hirsch in his 10/15/83 correspondence.

   The FY `84 figure is also estimated (phone interview, Dave Zintner, Administrator, Medical Services Unit, 5/18/84). His estimate is based on the August, 1983, through February, 1984, ICF/MR payments to Grafton/San Haven in the amount of $3,402,000 (Federal and State Share). His estimate also anticipates the revenue from two new certified units (approximately 50 beds each) opening April/May, 1984, at Grafton/San Haven.

7. Other Federal Funds are as reported in the published budget books. These figures were utilized, since neither the figures in correspondence nor in SB 2009 provided this degree of fund source detail. They include Deaf-Blind Project, ESEA Title I, and Library Grant funds.

COMMUNITY SERVICES

8. Community Services consists of one-half of the "State Department of Health MH/Retardation Fund", FY `77 through FY `81 (a Division of DD estimate of the MR share of funds; Hirsch, 10/3/83) and the "Developmental Disabilities" lines reported in the eight Human Service Centers, FY `77-FY `81. All of these figures were from the published budgets. In the 8/1/83 and 10/15/83 correspondence from Dr. Hirsch, FY `82 - FY `84 expenditures for Community Services consist of "Regional Offices" and "Community-based Care" figures. (Note: The FY `77-FY `81 MH/Retardation line in the State Department of Health's section of the budget documents terminates, as MR/DD services are shifted to the Department of Human Services.)

9. Title XIX consists of Federal revenue earned under the Community Care Waiver. The figures for the FY `84-`85 Biennium were reported in Dr. Hirsch's 8/1/83 correspondence ($1.0 million in Federal Share, FY `84).

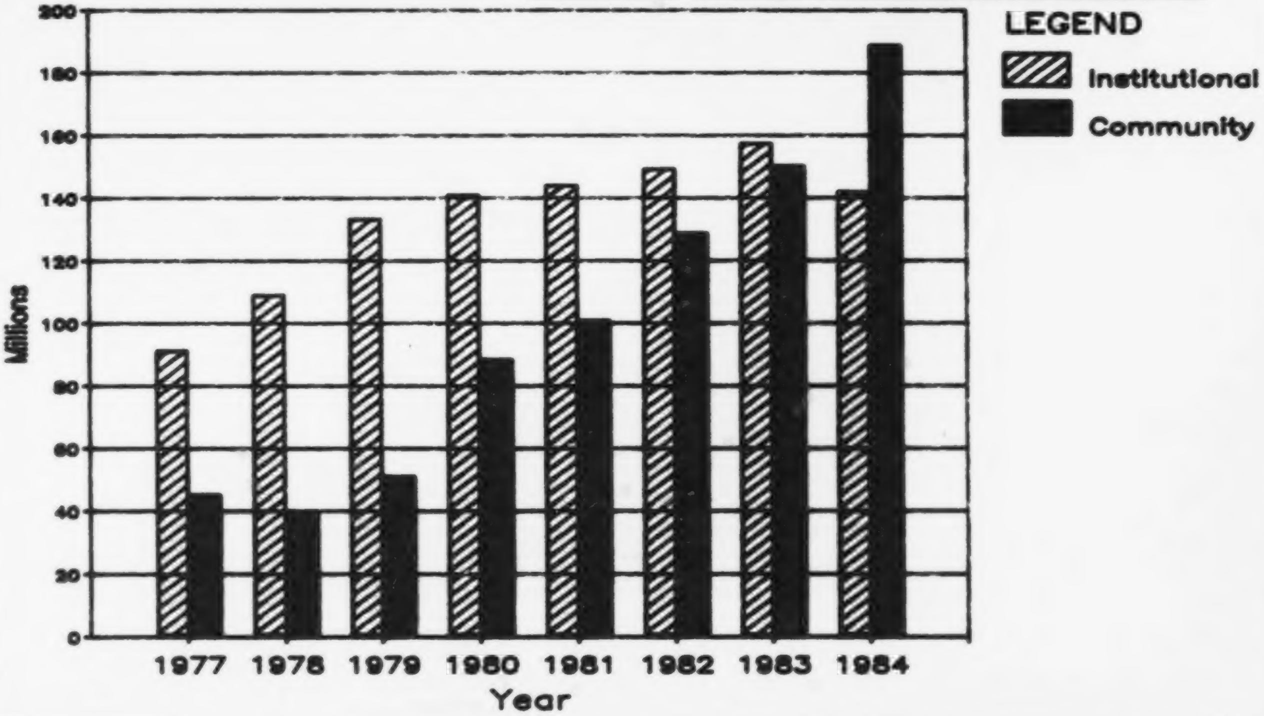
10. Title XX. In a 10/3/83 interview, Dr. Hirsch noted that there were no MR/DD Title XX funds.

11. Private ICF/MR. Zintner (phone interview, 11/22/83) provided estimates for Private ICF/MR expenditures for FY `82 and `83: Fifteen beds at $48.30/day; nine beds at $60.13/day; and eight beds at $62.24/day. These rates were multiplied by 365 days, and the North Dakota Federal/State ICF/MR match ratios were utilized to determine Federal/State shares). Zintner (phone interview, 5/18/84) indicated that there were 108 (out of a target 166) Community-based ICF/MR beds operational as of 5/18/84. Assuming a linear phase-in from November (32 beds) to May (108 beds), we estimated FY `84 expenditures as follows:

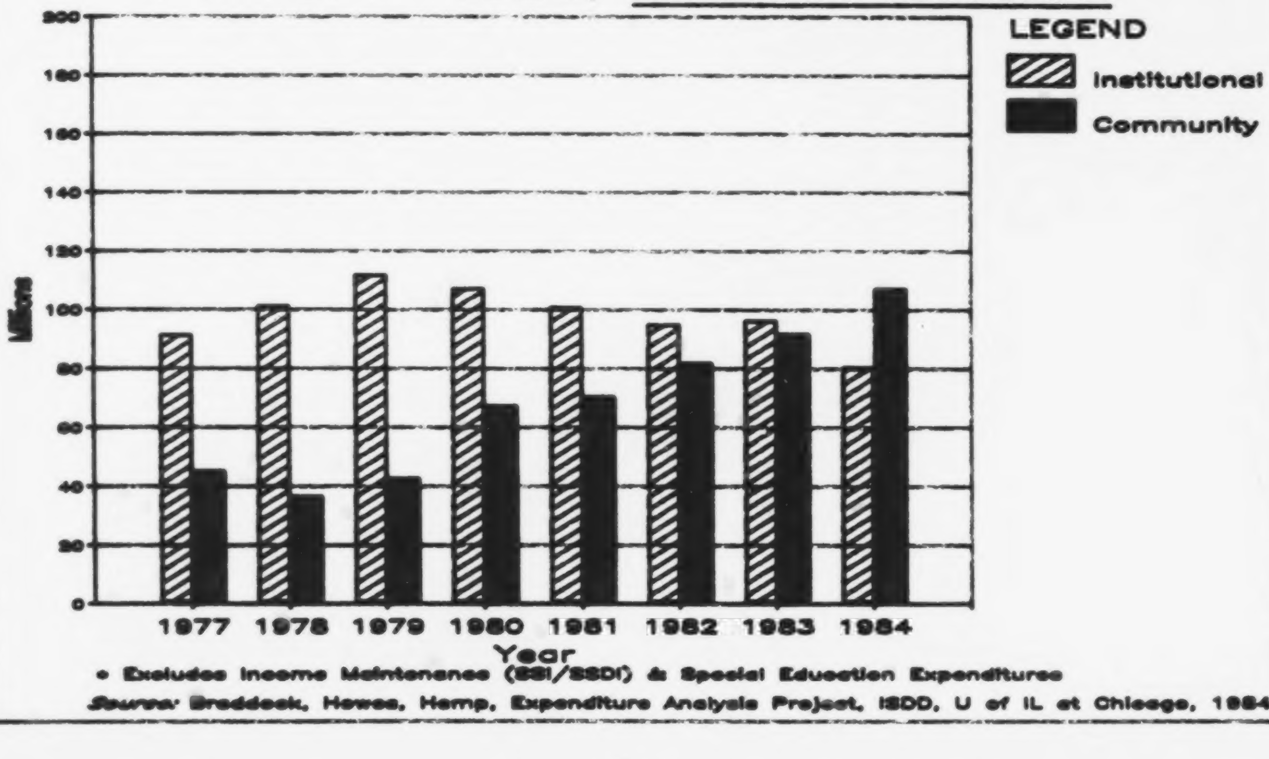
Average per diem (32 beds): $55.14	
November to May phase-in cost, additional 76 beds:	$ 440,000
June Cost, 76 beds:	127,700
FY `83 Cost, 32 beds	643,700
FY `84 projected cost, 108 beds	1,211,400

OHIO
STATE PROFILE

OHIO
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

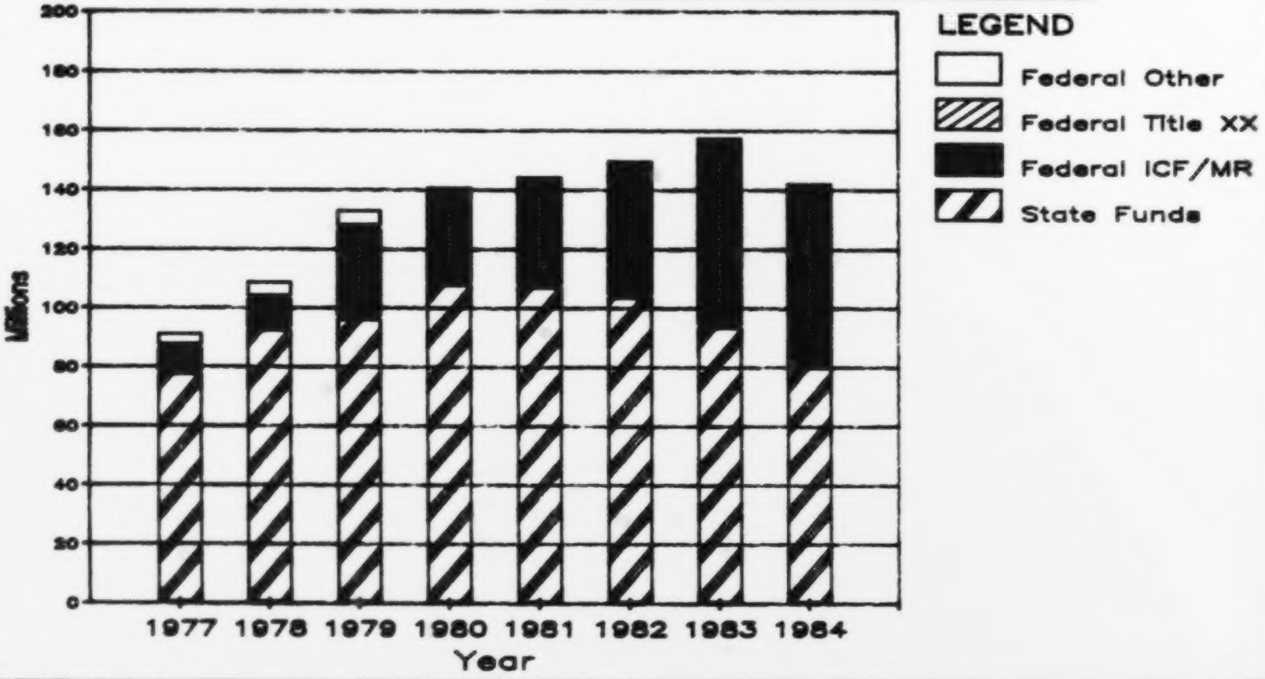


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

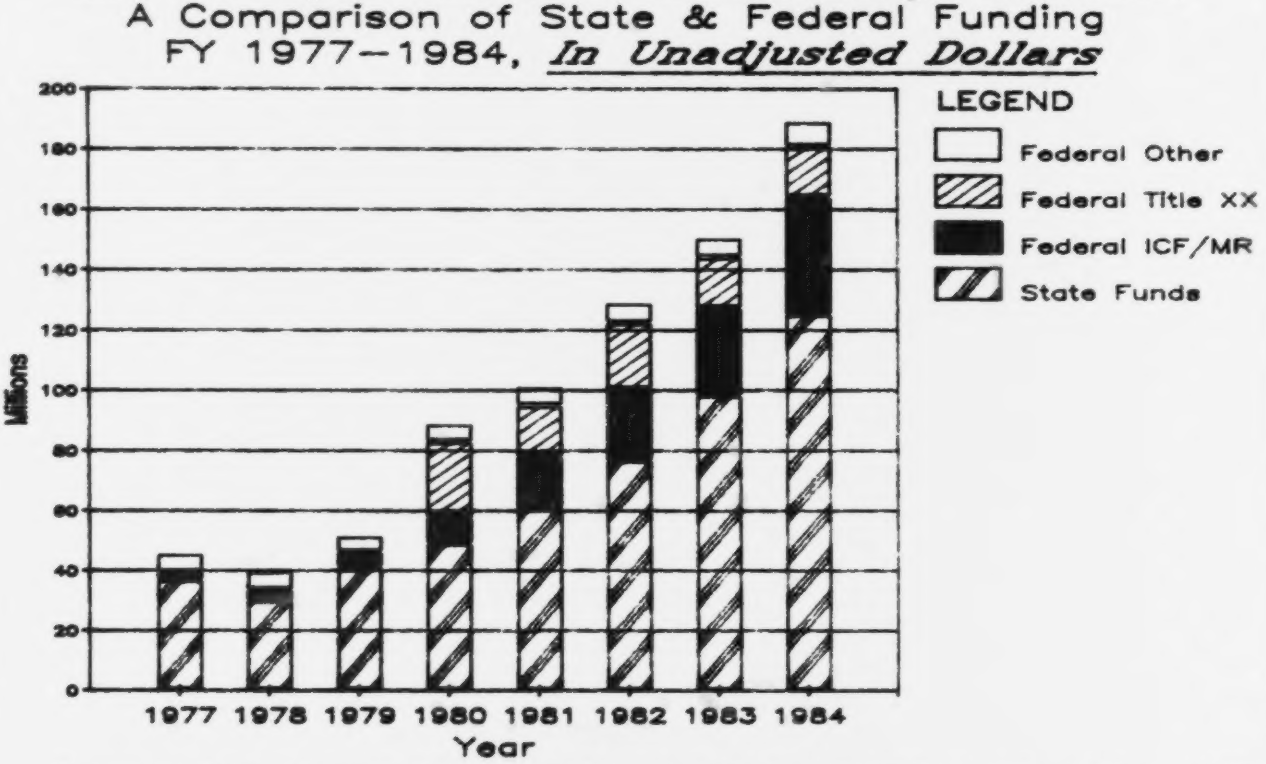
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

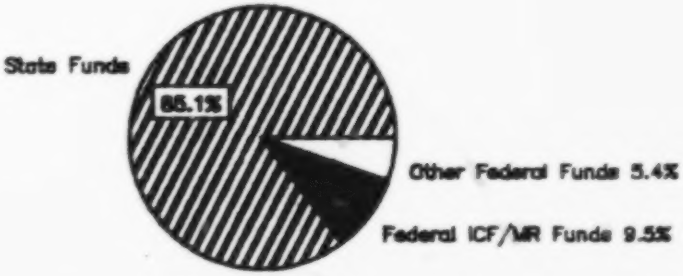


MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*

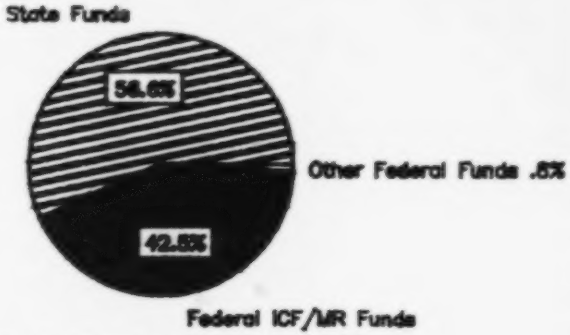


Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

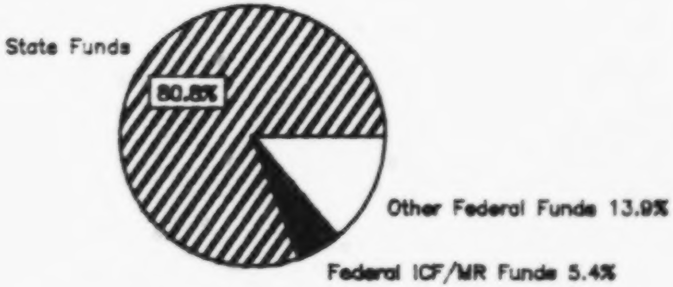
OHIO
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



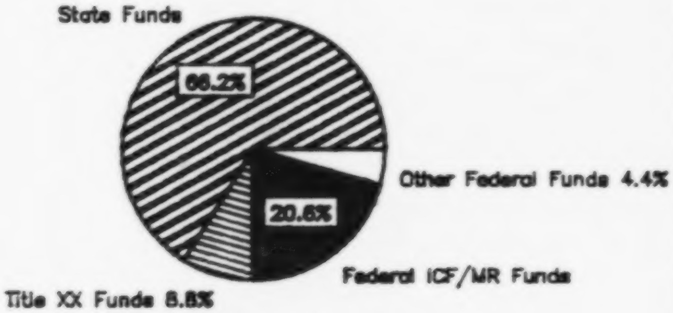
Institutional: 1977 Total Funds—$92 Million



Institutional: 1984 Total Funds—$142 Million



Community: Total Funds—$45.7 Million



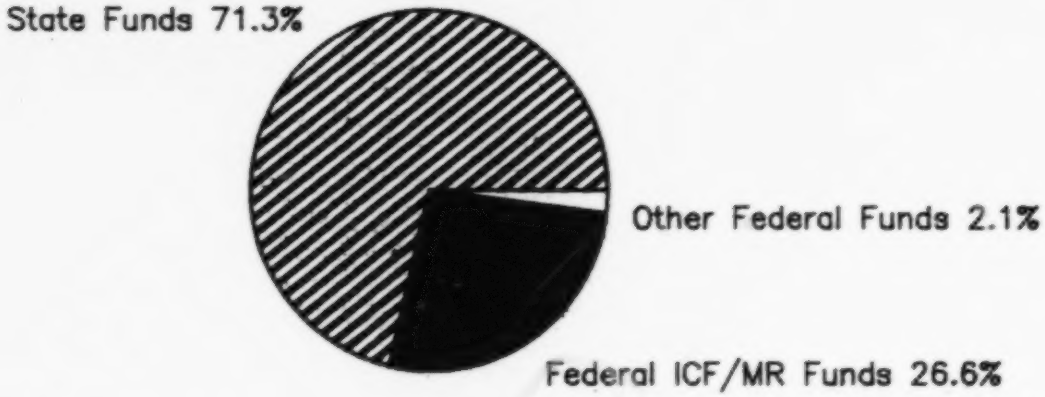
Community: Total Funds—$189 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

OHIO

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

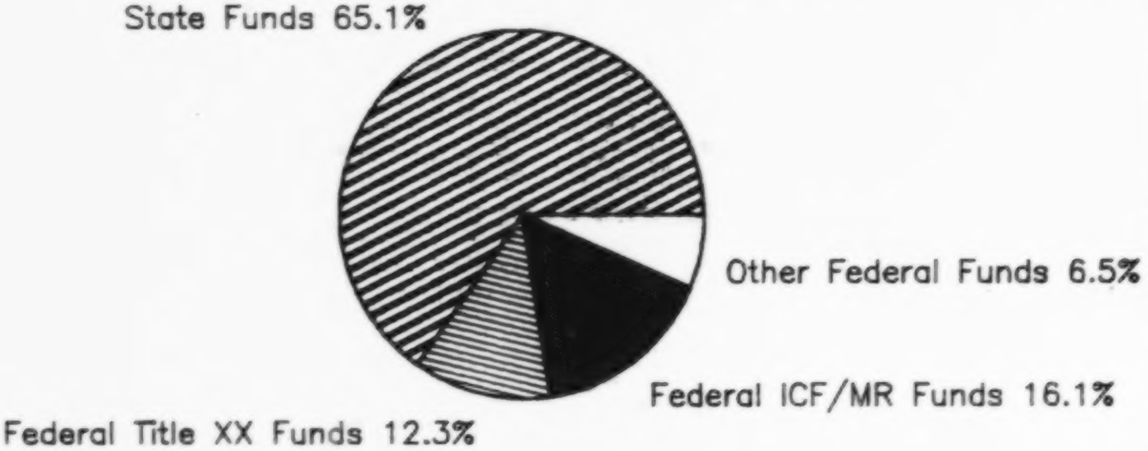
Institutional Services Funds



Total Institutional Dollars:$1.07 Billion

Community Services Funds

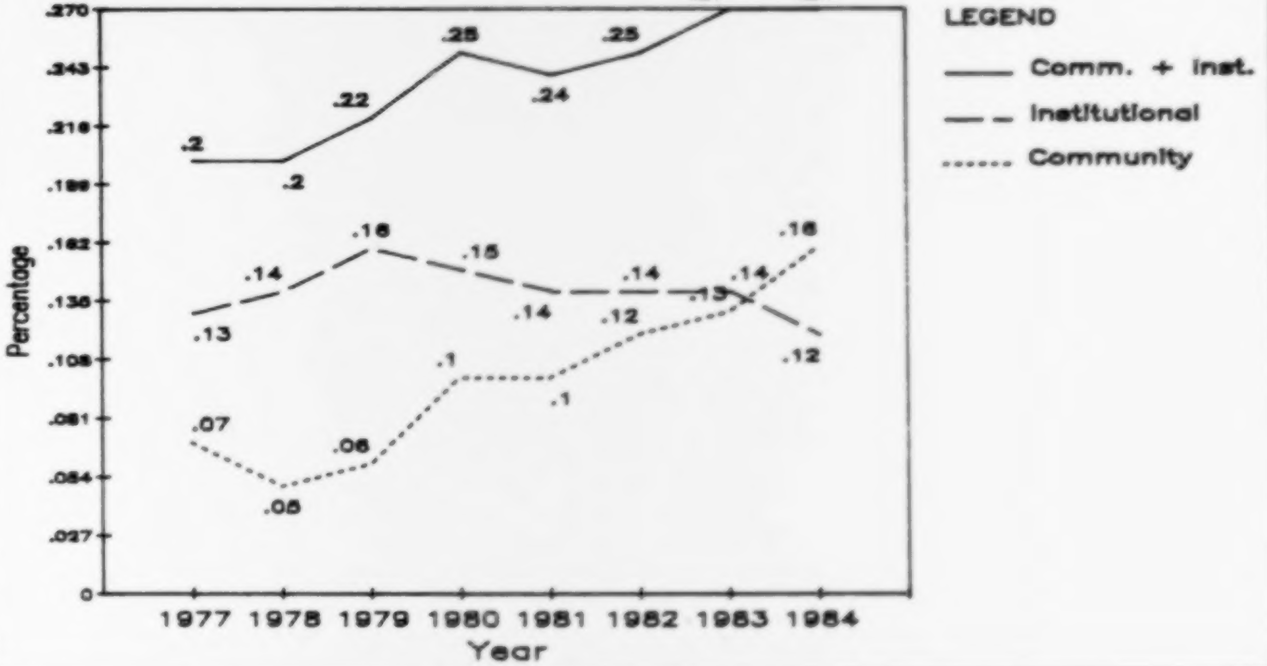
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



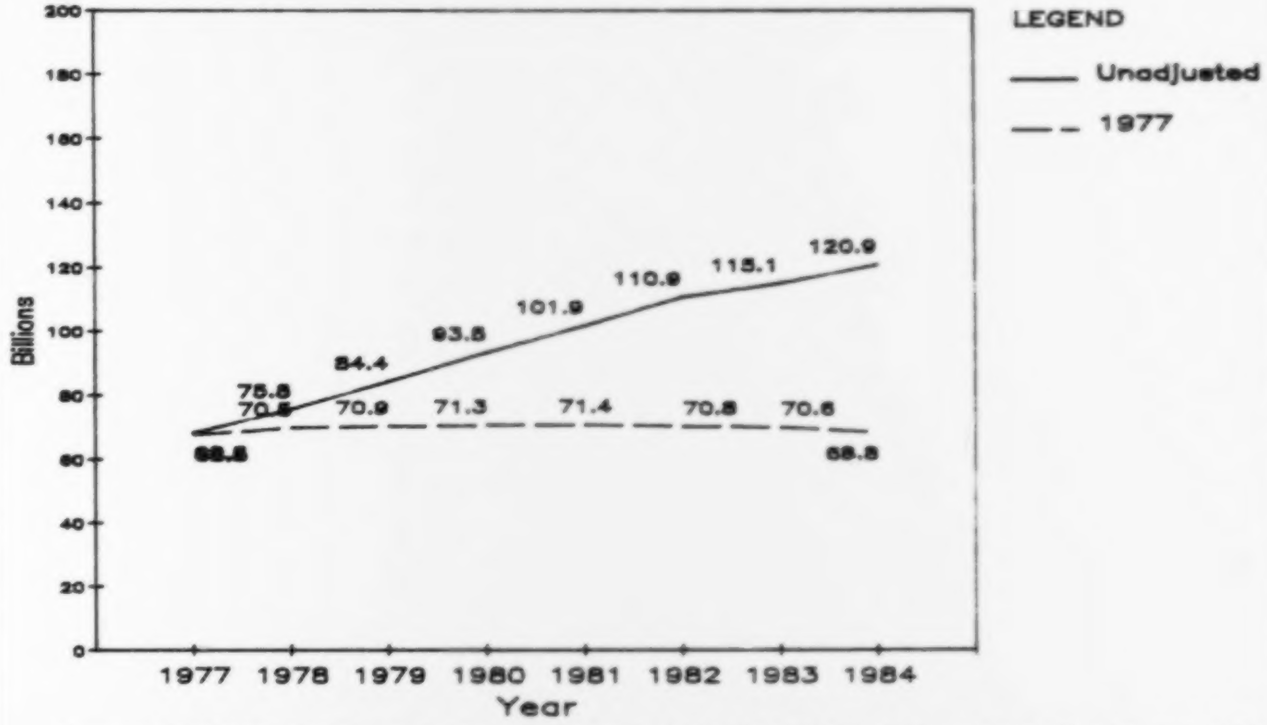
Total Community Dollars: $797 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



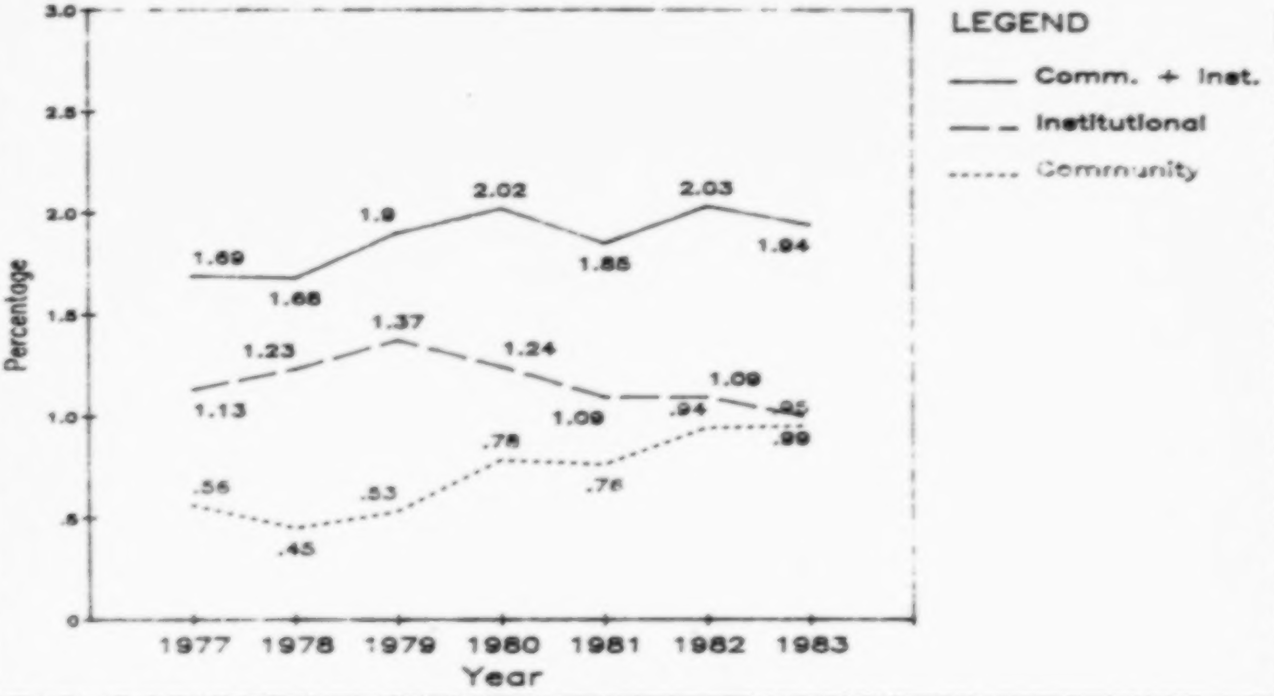
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



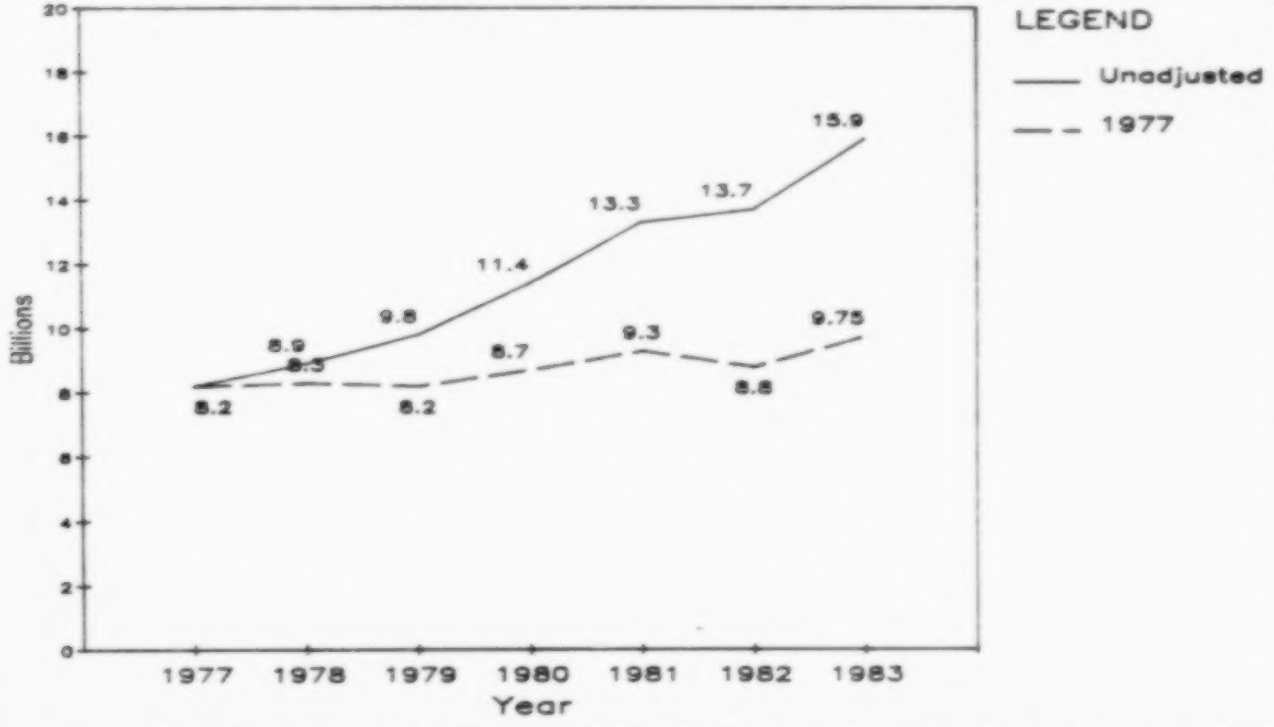
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



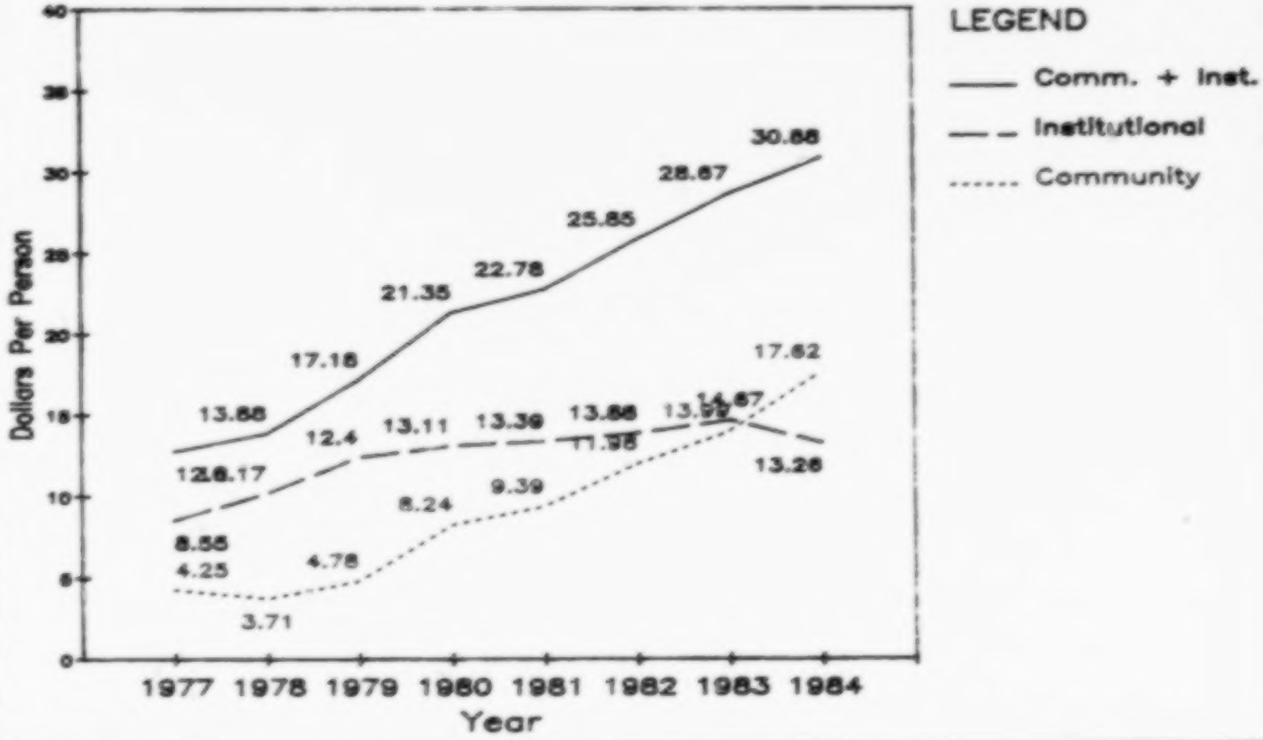
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



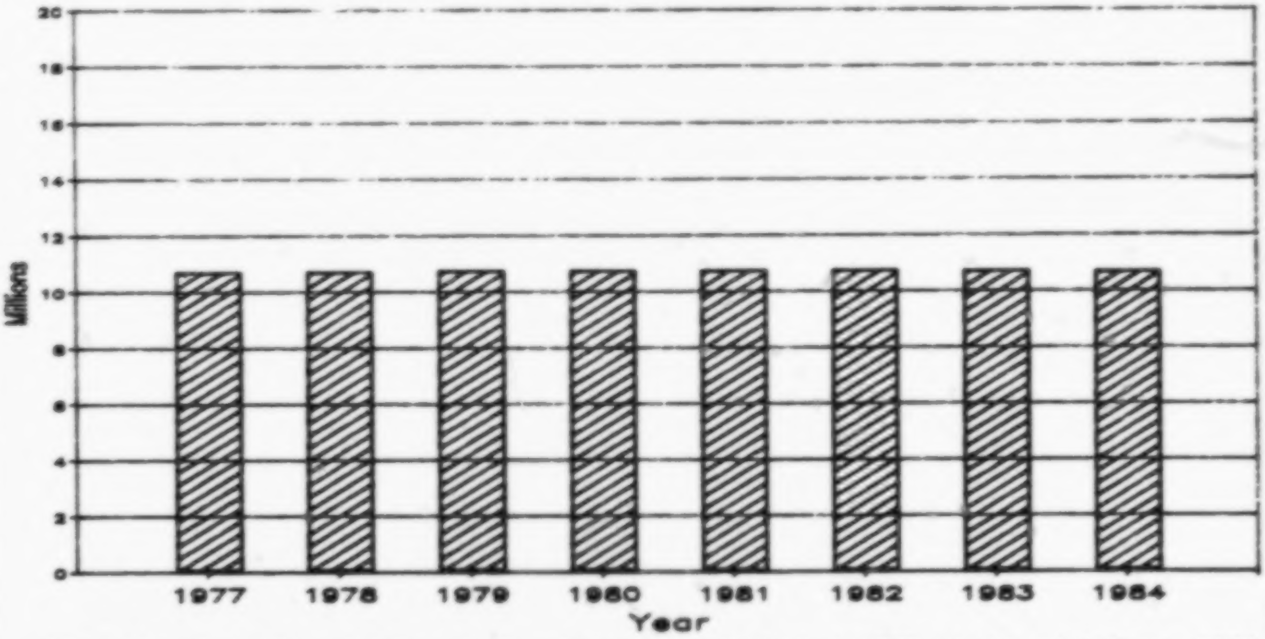
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

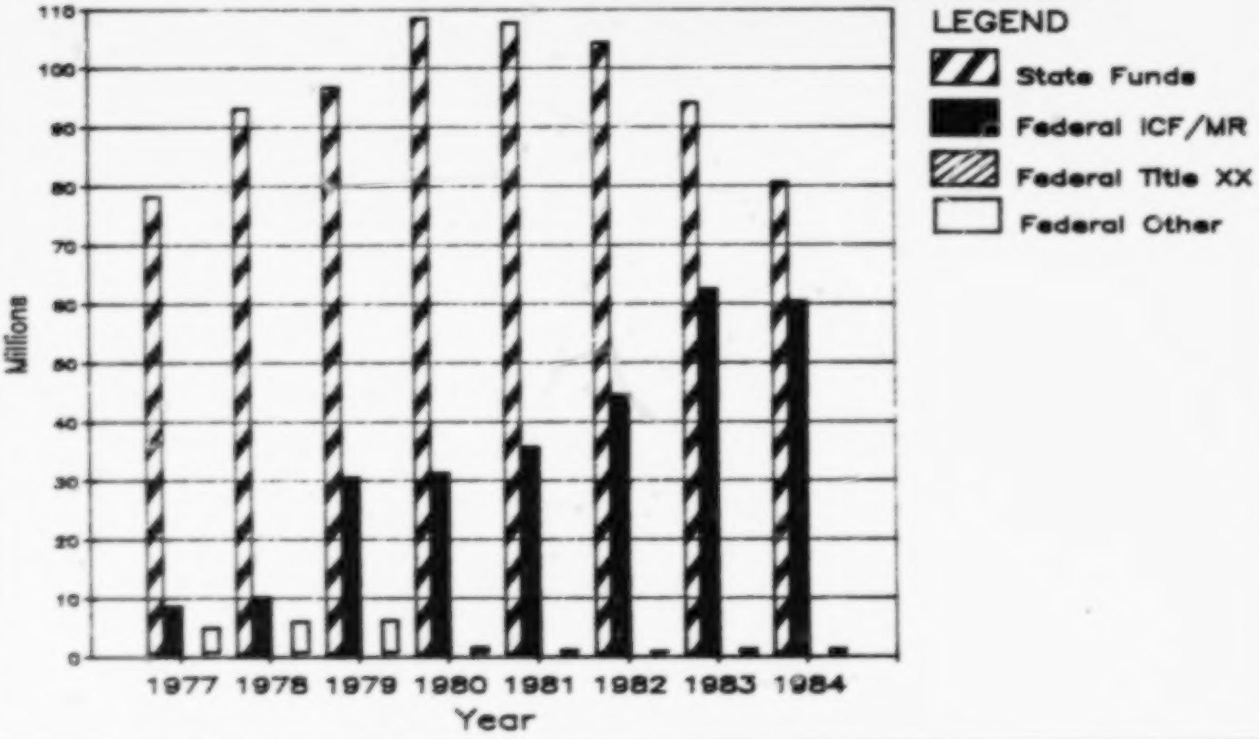


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

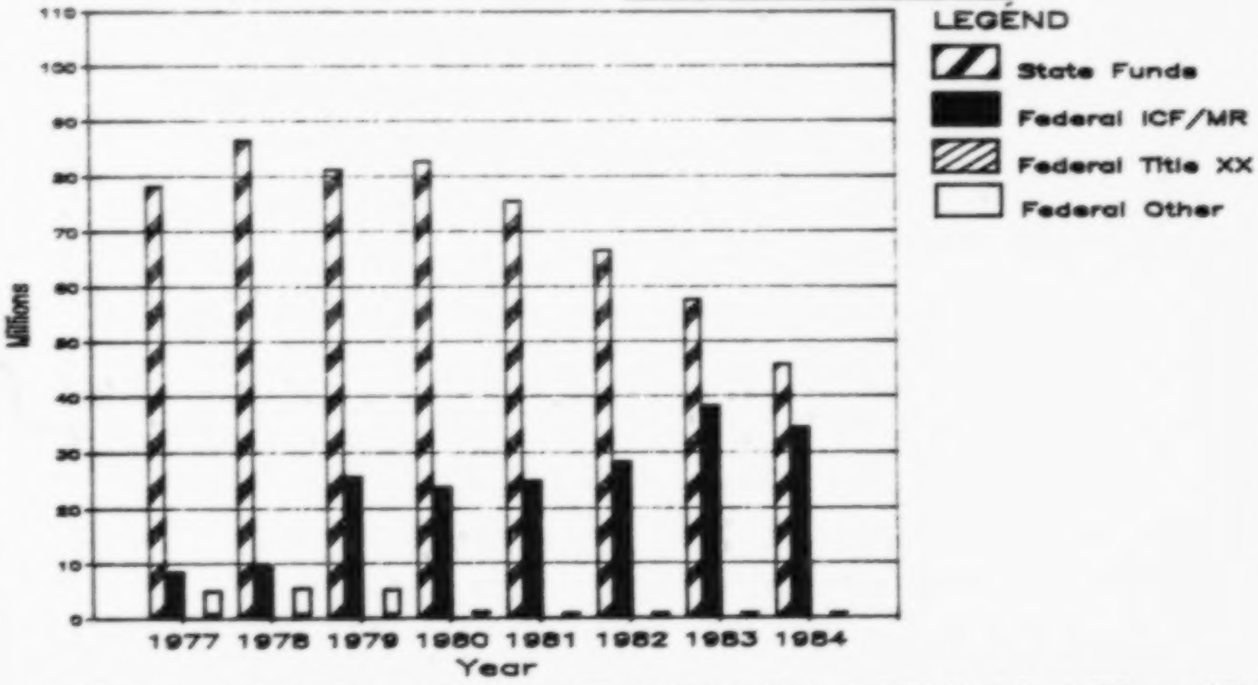
OHIO

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, ***In Unadjusted Dollars***



FY 1977–1984, ***In 1977 Dollars***

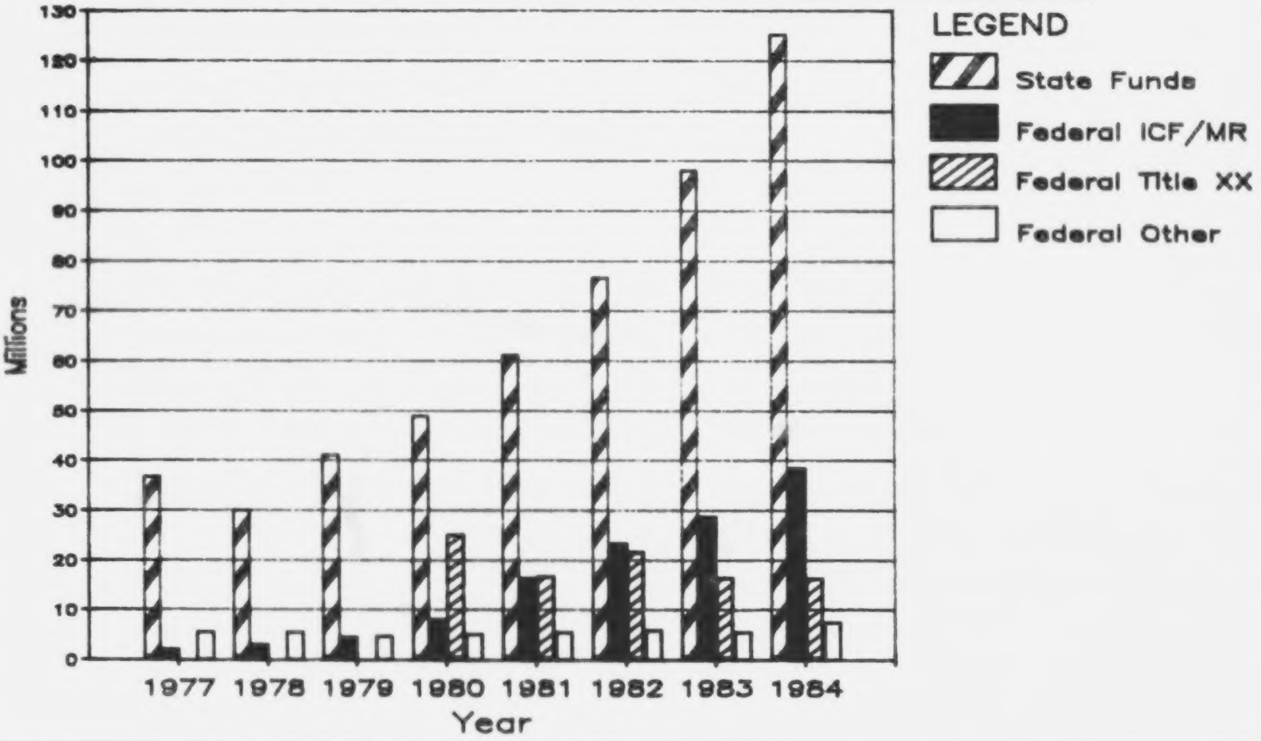


Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

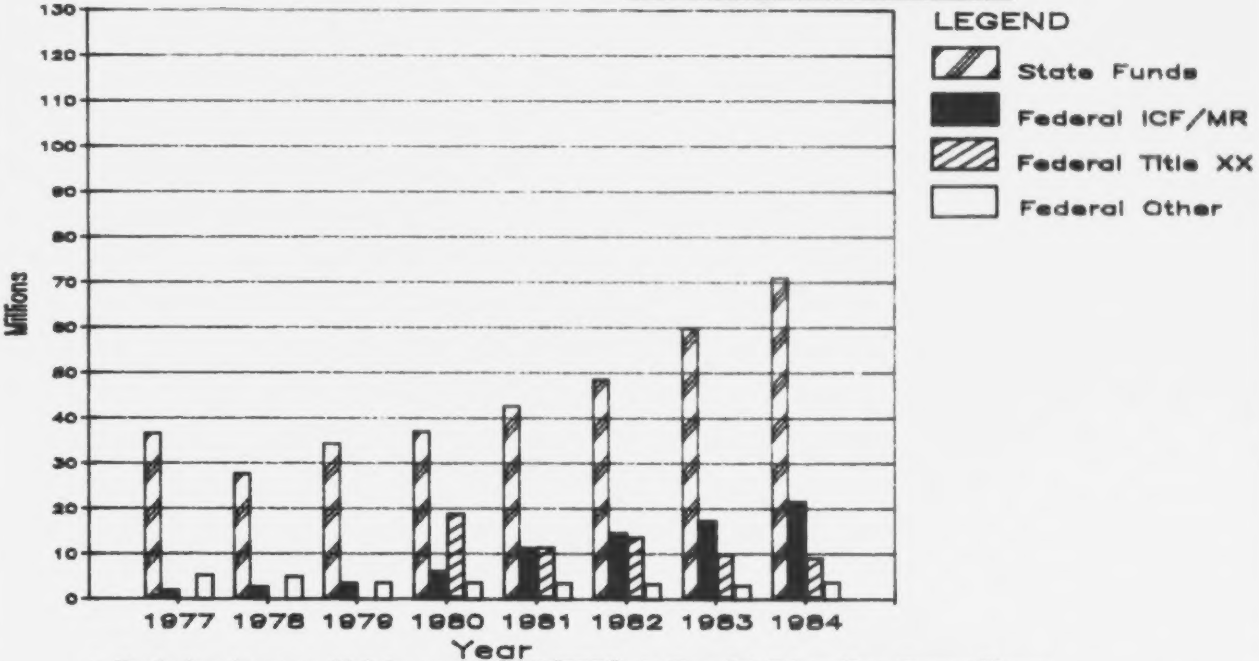
OHIO

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



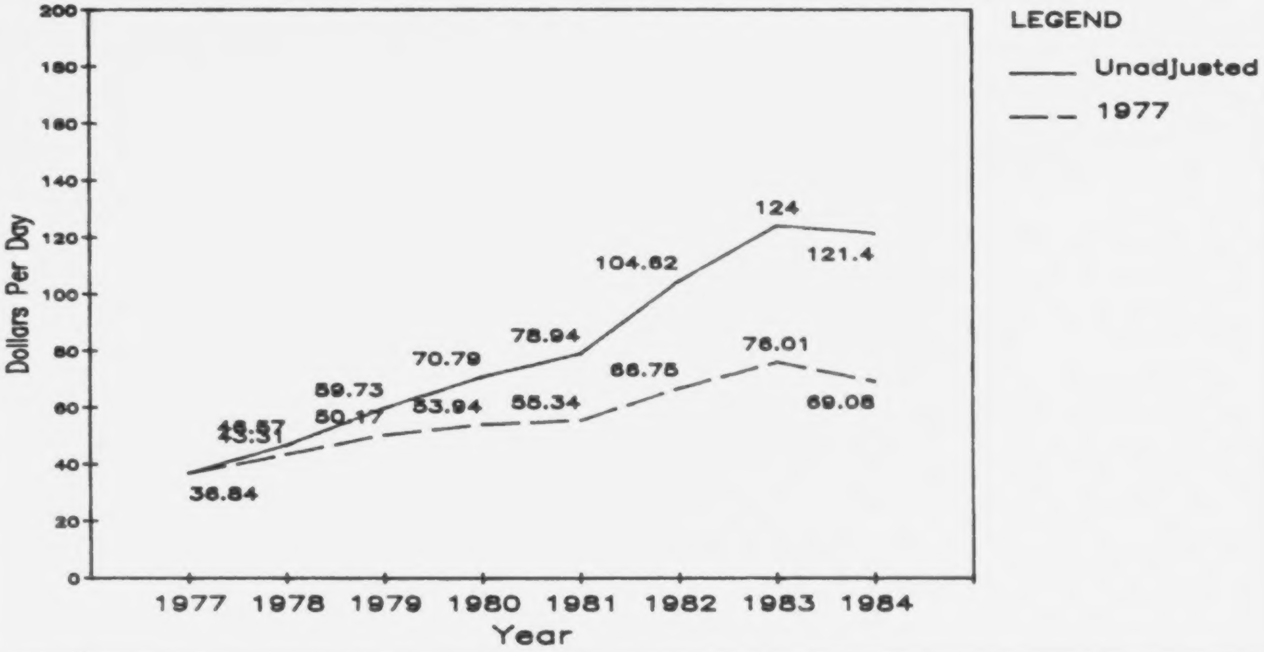
FY 1977–1984, *In 1977 Dollars*



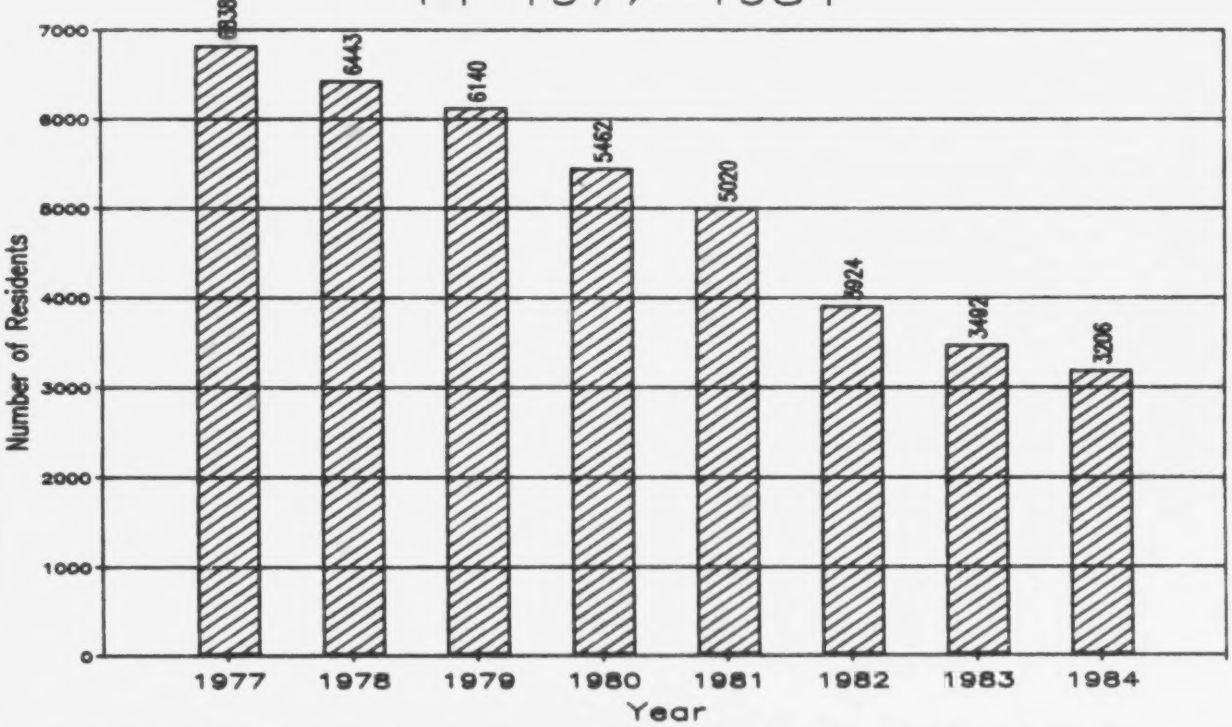
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OHIO

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Ohio's state-managed services for mentally retarded and developmentally disabled people are provided by a cabinet-level state agency, the Department of Mental Retardation/ Developmental Disablities (DMR/DD). The Department was formed in FY '78; prior to this, services were provided by the Department of Mental Health and Mental Retardation.

2. Budget Format: The budget categories are consistent FY '78 - FY '84 (in FY '77 when MR/DD services were combined with Mental Health, there is no fund source breakdown, although the program elements "community" and "institutional" and "regional services" are indicated). The FY '78-'84 fund sources in the published executive budgets are:

   State Special Revenue Fund (Code 08)
   Intra-governmental Services Fund (Code 09)
   Federal Special Revenue Funds (Code 10)
      Medicaid
      Federal Grants
      Title XX Social Services
      Letter of Credit
      Elementary and Secondary Education
      Vocational Rehabilitation
   General Revenue Fund (Code 11)

   For the purpose of our analysis the "State Special Revenue Fund" and "Intra-governmental Services Fund" are categorized as Other State Funds. "Letter of Credit," "Elementary and Secondary Education" and "Vocational Rehabilitation" are categorized Other Federal Funds.

3. Note on Fund Sources: Ohio "Executive Budgets" were reviewed for the FY '79- '81, FY '81-'83, and FY '83-'85 biennia. The Ohio budget documents each provided three prior years' actual expenditure figures FY '77 through FY '82. FY '83 figures were "estimated" operating budget sums while FY '84 consisted of "Governor's Recommendations." FY '84 figures were subsequently upgraded to "revised appropriation", and these revised figures reflect a reduction (compared to "Recommended") for Community and Institutional services funding of approximately $1,000,000. There was a $500,000 increase in Institutional Services funding but a $1,500,000 decrease in Community funding reflecting the net effects of a 2% General Revenue Fund cut absorbed by various Community program elements and by Developmental Centers. The figures in our analysis also reflect pay increases at State Developmental Centers beginning in March, 1984.

   For FY '77 through FY '84, the DMR budget section organization, and total expenditure figures reported in the Executive Budgets are (dollars in millions):

YEAR	Central Administration	Regional Services	Community	Developmental Centers
1977	$----	$ 5.1	$36.1	$ 92.0
1978	14.8	5.0	28.7	109.5
1979	16.8	9.8	33.0	133.9
1980	21.7	3.8	69.5	141.5
1981	26.2	3.8	67.0	144.6
1982	29.6	4.0	82.2	149.9
1983	49.3	4.4	93.3	158.0
1984	44.5	----	120.5	142.0

Consistent with the Expenditure Analysis Project's definitions, the "Central Administration" element above is excluded from the analysis, while "Regional Services" is combined with "Community" for the Community Services portion of the analysis. According to Mr. Mark Bohlmann, Director, Office of Information Systems, DMR/DD (phone interview, 8/9/83), "debt service" on capital projects is included within this Central Administration. Since this amortization of the expense of capital projects is in addition to maintenance expenses already within the developmental center budget figures, the line item "Rent Payments-Ohio Public Facilities Commission (OPFC)" should be excluded from the analysis, along with the other Central Administration expenses:

"OPFC" Capital Expenses Excluded
($ in millions)

YEAR	TOTAL EXCLUDED
1978	$11.3
1979	12.3
1980	16.4
1981	18.1
1982	21.2
1983	39.7
1984	35.0

Bohlmann also indicated that the "Regional Services" line (see figures in table above), which for \`77-\`83 are now included with the "Community" portion of the analysis, was eliminated after FY \`83. However, the regional activities (case management, service referrals) were continued, administered out of Central Administration.

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of aggregated Developmental Centers funding. George Hardy, DMR/DD Fiscal Services, in a 10/13/83 telephone interview, provided revised Title XIX Federal revenue figures for FY \`81- \`83, (extracted from the "State Special Revenue Fund" line reported in the Executive Budget). He also recommended that we utilize FY \`78 fund source ratios to apportion the FY \`77 total expenditures figures obtained from the Executive Budget.

The published budget documents provide the following developmental center average daily population figures (aggregated):

FY 1977 - 6,838
FY 1978 - 6,443
FY 1979 - 6,140
FY 1980 - 5,462
FY 1981 - 5,020
FY 1982 - 3,924
FY 1983 - 3,492
FY 1984 - 3,206

III. COMMUNITY SERVICES

4. Community Services funding consists of the following program elements, as identified in the Executive Budget:

Operating Expenses
Volunteer Recruitment
Vehicle Purchases
County MR Boards-Transportation
Community Programs
Impact Grant
School Transportation
County MR Boards Operating
Special Education
Purchase of Service MR/DD

More than 70% of Community Services dollars are expended on the latter three programs; nearly 50% of all dollars are spent on the last one (Purchase of Service MR/DD).

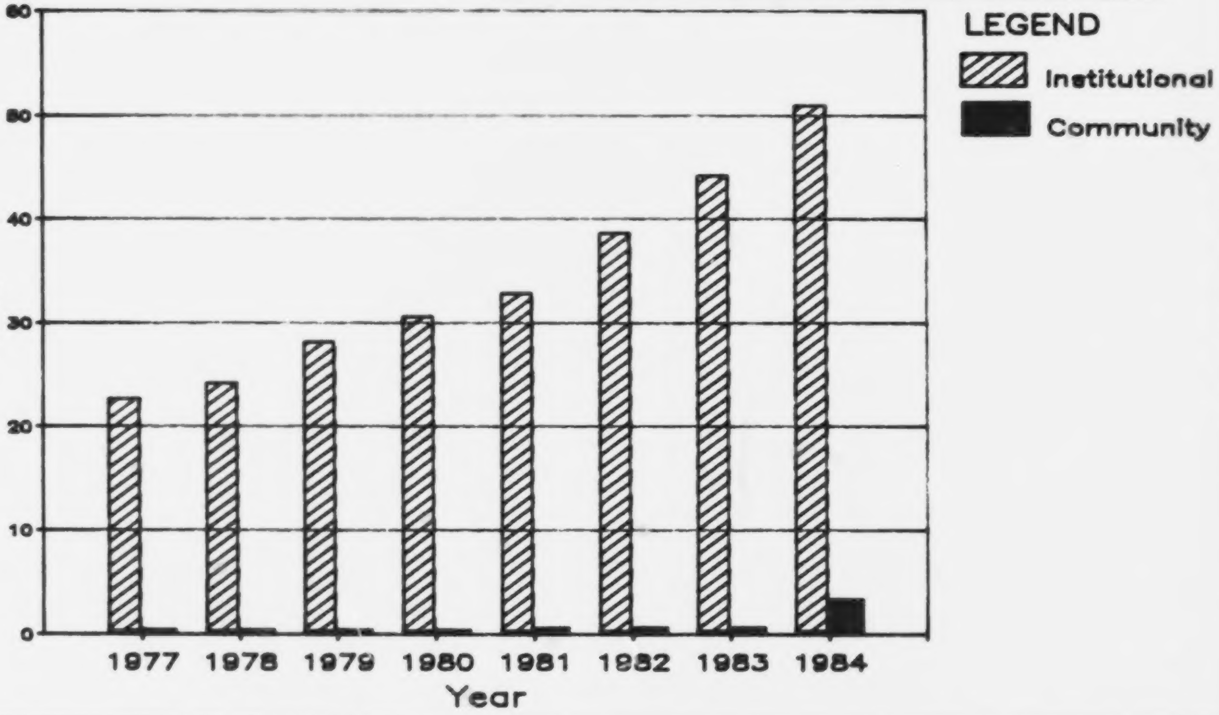
5. Title XIX. Ohio has not applied for the Title XIX Community Care Waiver. However, Bohlmann (8/9/83) indicated that DMR/DD has encouraged the development of "ambulatory health care clinics" which are termed "community hab centers." The individuals served live at home and travel daily to receive services outside the home--similar to ICF/MR, group home, or other "institution" residents. For this service, a computerized billing system has been implemented and current expenditures are at the rate of $2-3 million dollars per month.

6. Title XX. In FY `80 the Executive Budget indicated that "Other Federal Funds" in the Community was at a level of $31,283,500 and it did not identify any Title XX funds. To determine the amount of Title XX in FY `80, we interpolated the Other Federal Funds amount (FY `79 plus FY `81 amounts, divided by 2). We then subtracted this interpolated figure, $5,904,000, from the Executive Budget Federal funds figure, $31,283,500, to estimate FY `80 Federal Title XX at $25,379,500. State officials agreed that this method produced a reasonable estimate for FY 1980.

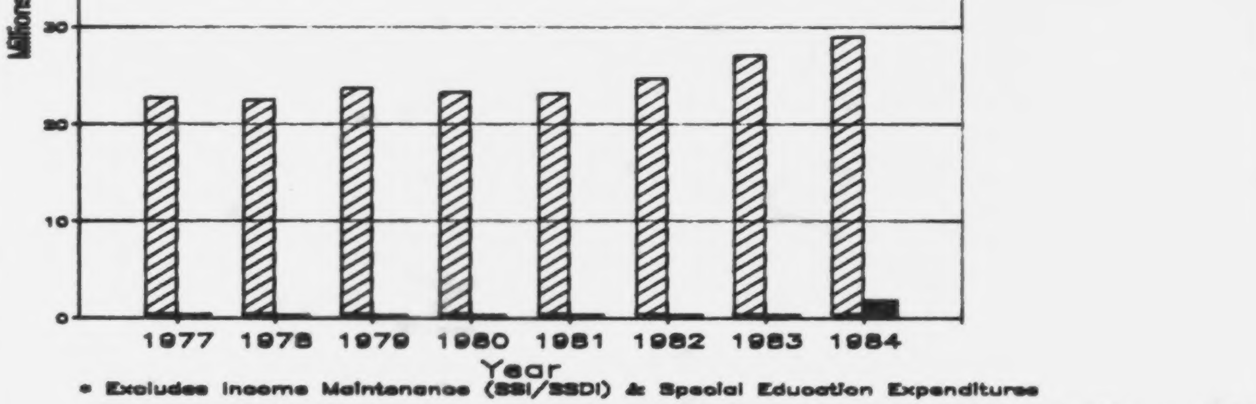
7. Private ICF/MR figures are from Mr. Ted Fry, Budget Services, DMR/DD (phone interview, 10/13/83) for FY `77 through FY `82. Bohlmann, in 11/10/83 correspondence provided additional information on private ICF/MR sites: annual expenditure (with 95% occupancy), a weighted average per diem ($49.65), total beds (3478) and projected FY `84 figures. FY`83 is an interpolation between Fry's FY `82 and Bohlmann's FY `84 figures. The apportionment of Federal and State shares is in accordance with match ratios obtained from the Health Care Financing Administration. Finally, the FY 84 figures were updated by Bohlmann (6/15/84 phone interview) to reflect the costs of 135 facilities (3886 beds). However, our analysis' FY `83 figure, resulting from interpolation with Bohlmann's original FY `84 figure was not modified.

OKLAHOMA
STATE PROFILE

OKLAHOMA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

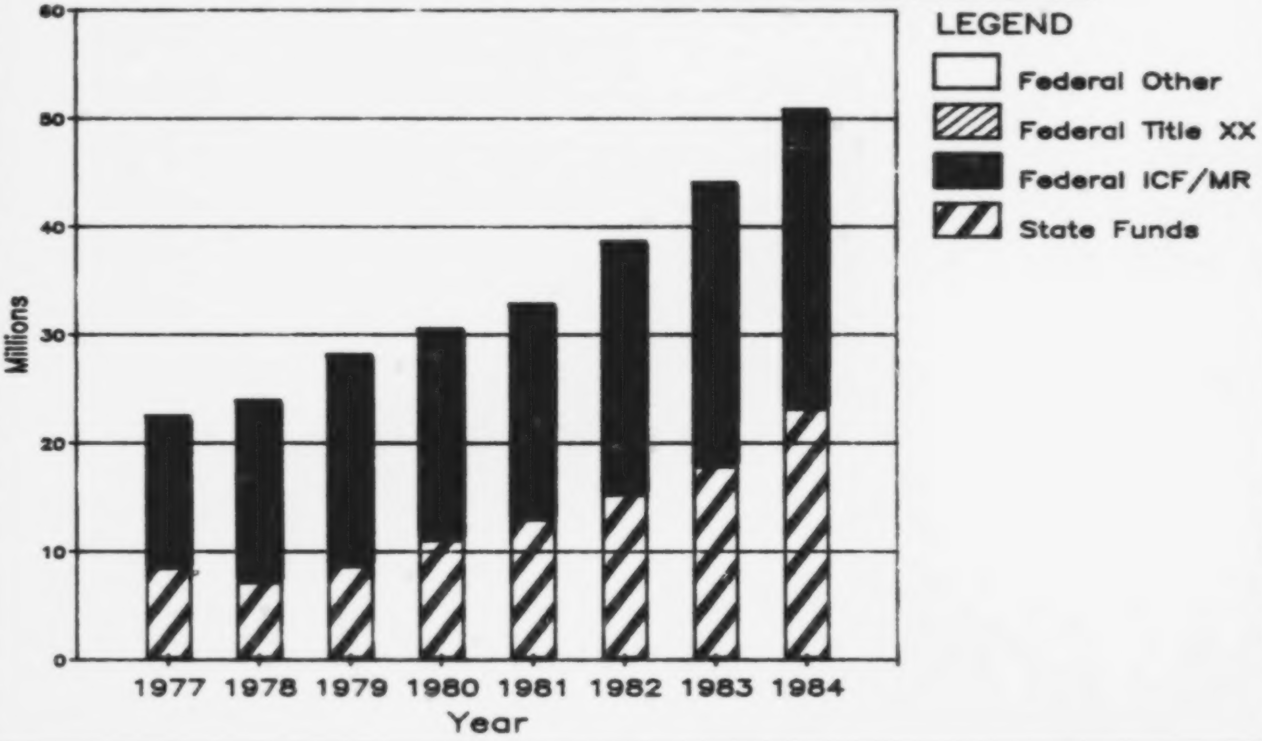


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

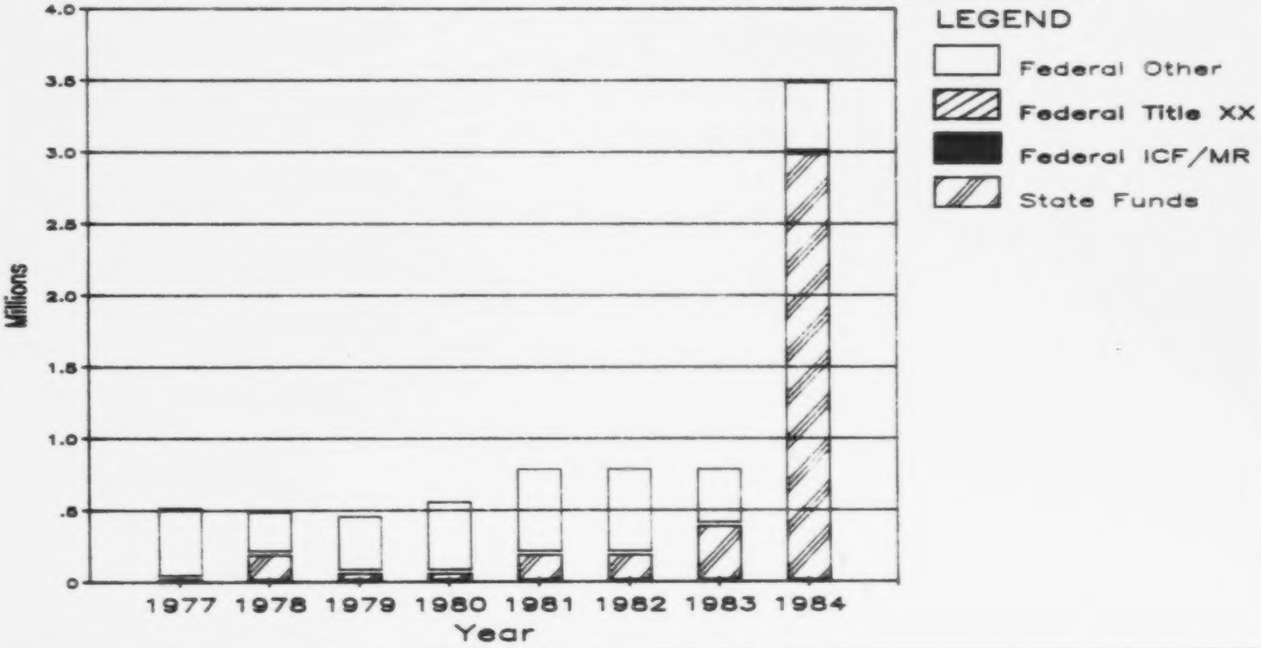
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



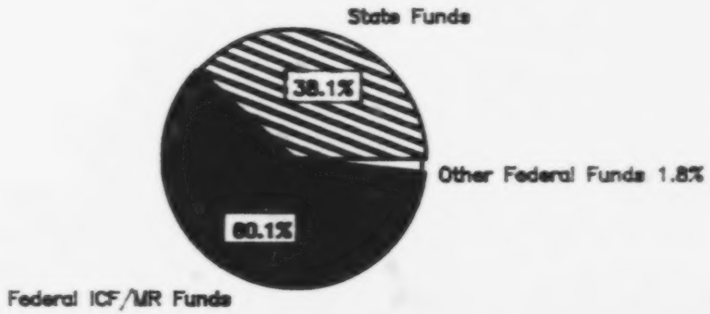
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



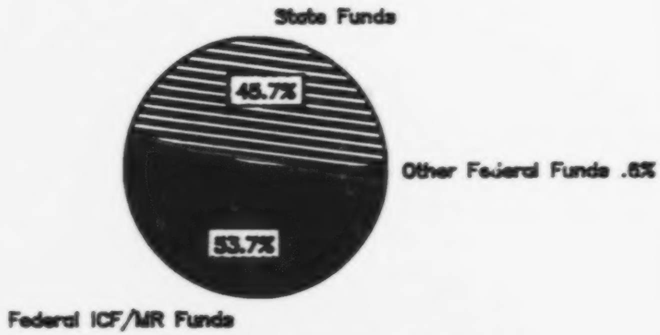
OKLAHOMA

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

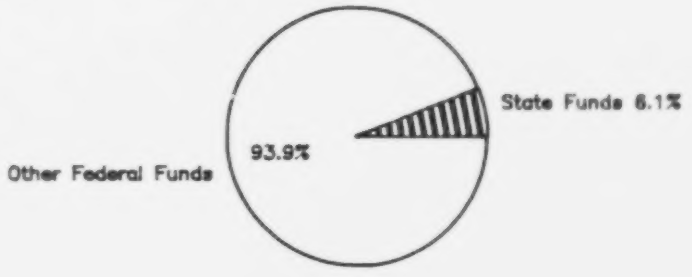
FY 1977 & 1984



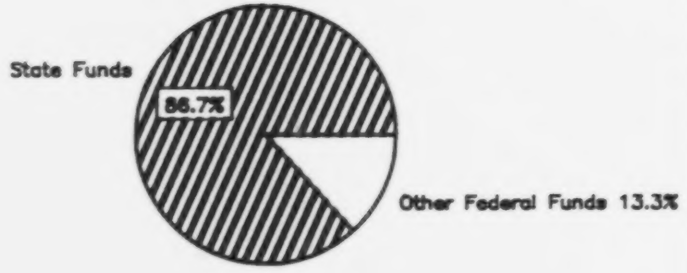
Institutional: 1977 Total Funds—$22.7 Million



Institutional: 1984 Total Funds—$51.0 Million



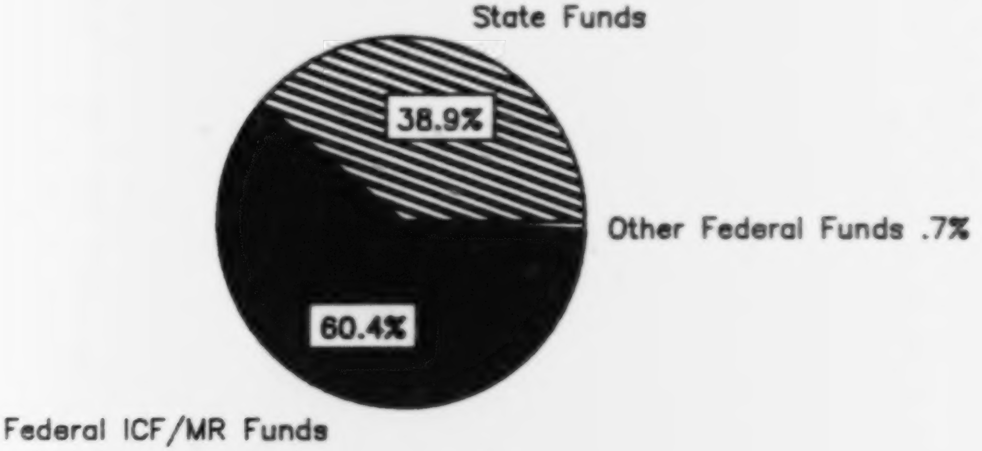
Community: 1977 Total Funds—$491 Thousand



Community: 1984 Total Funds—$3.5 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

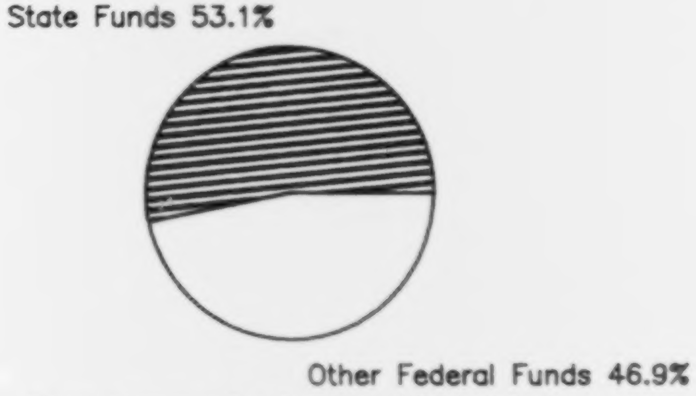
OKLAHOMA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $273 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



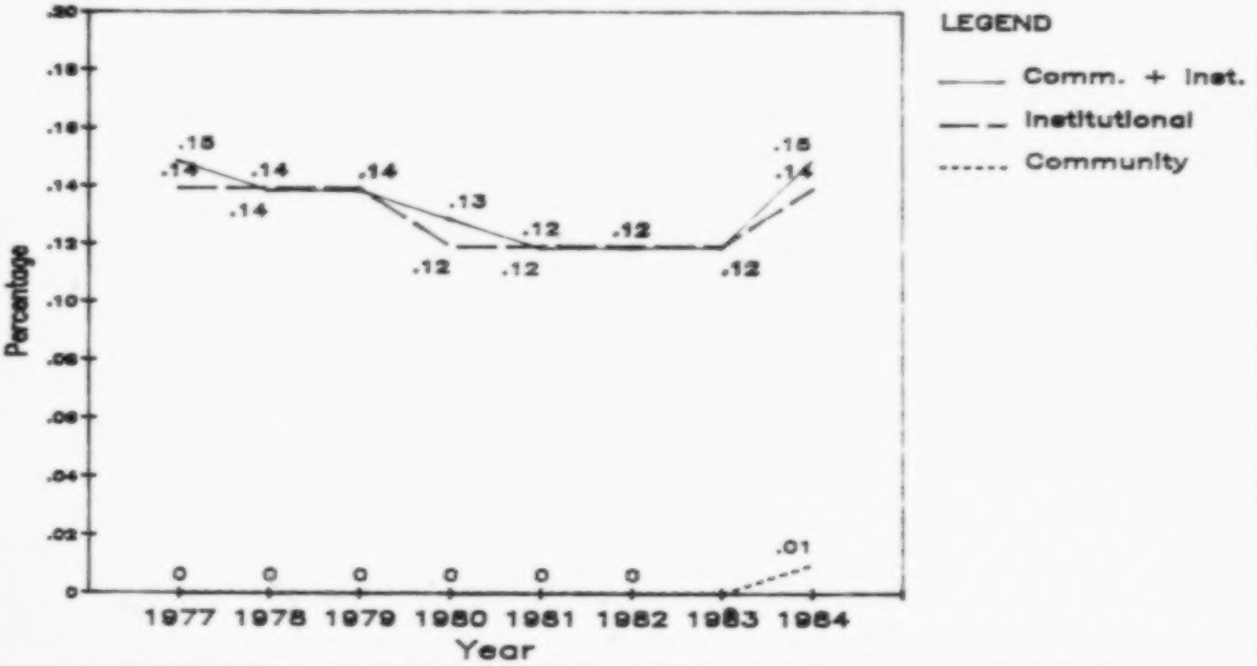
Total Community Dollars: $7.7 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

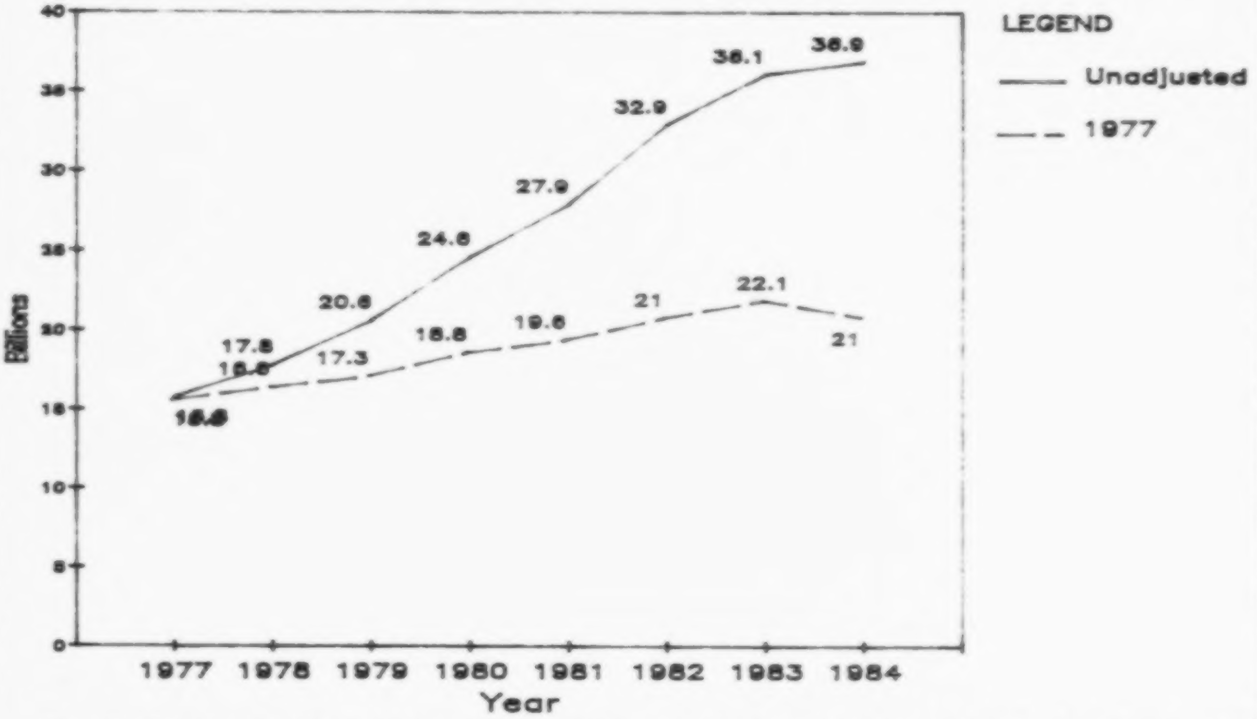
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977—1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

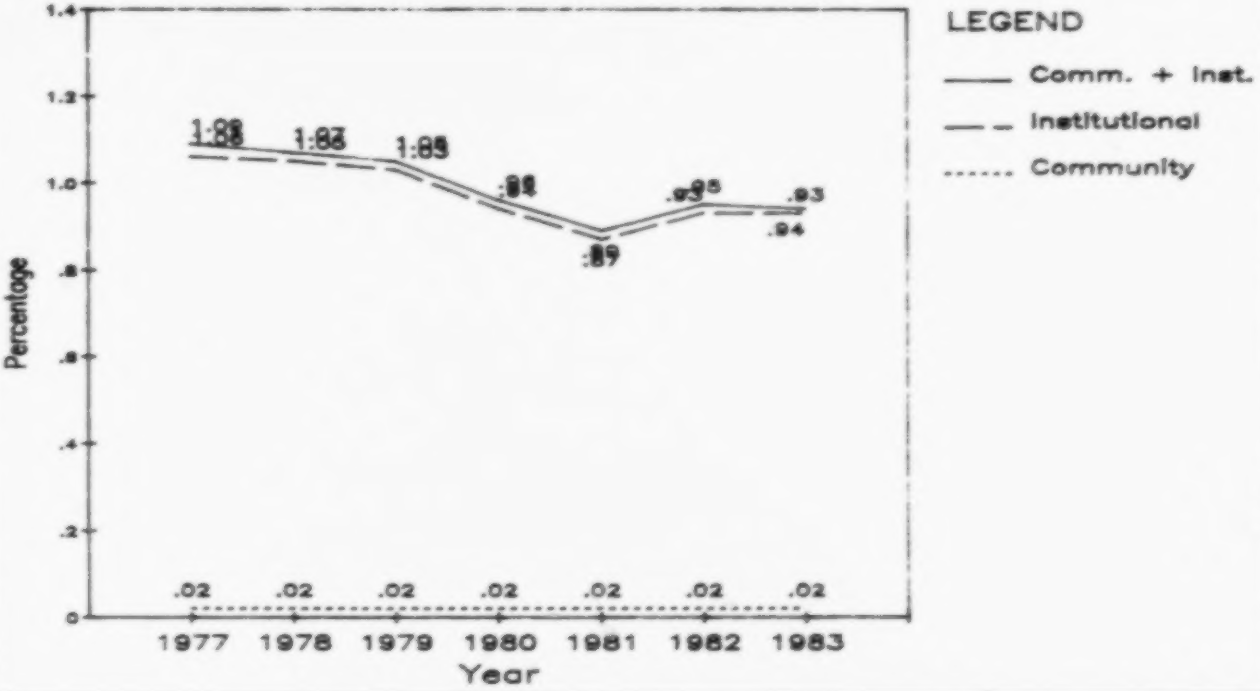
FY 1977—1984



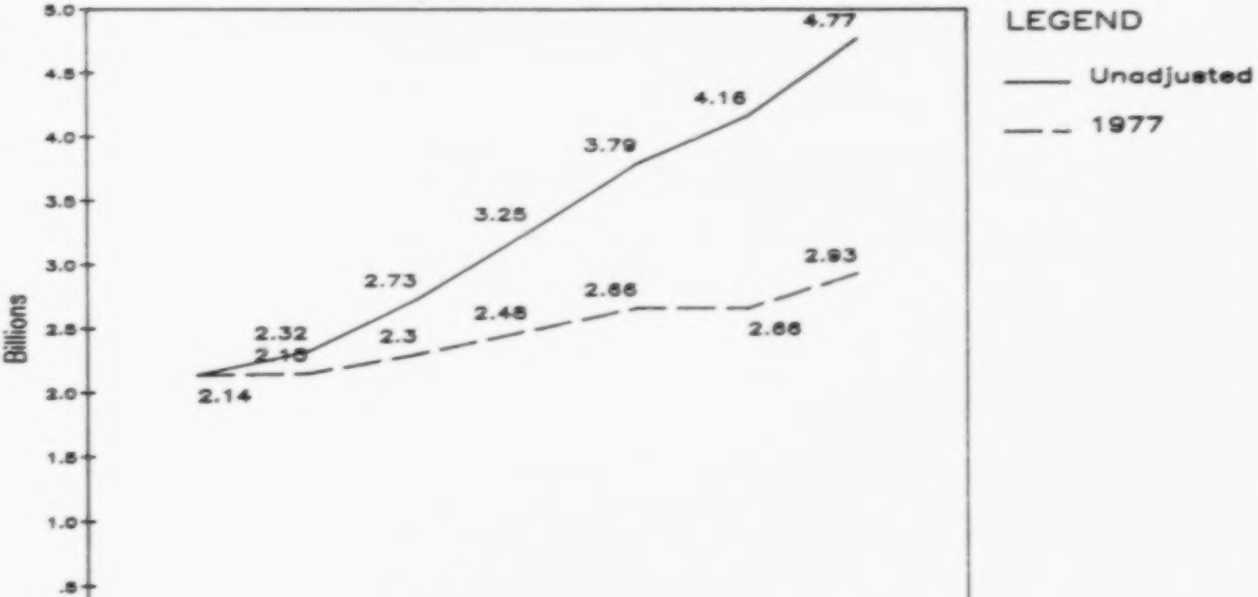
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977—1983



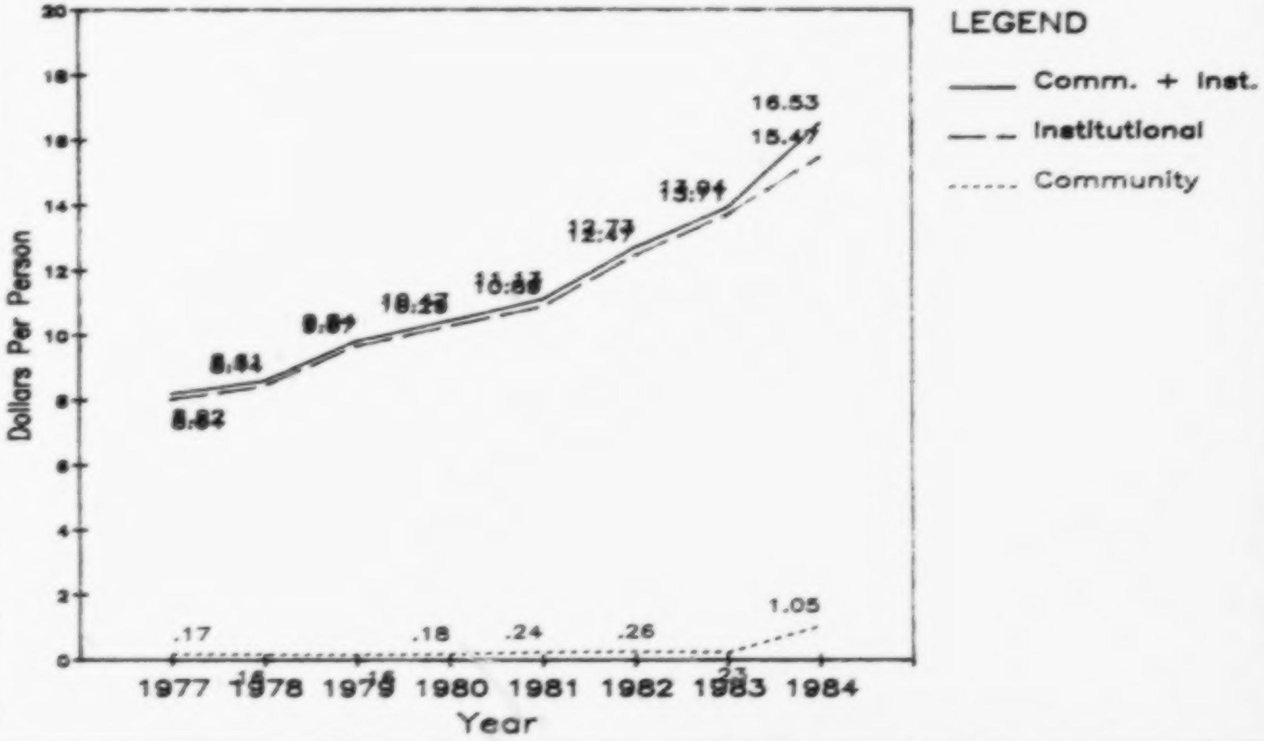
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977—1983



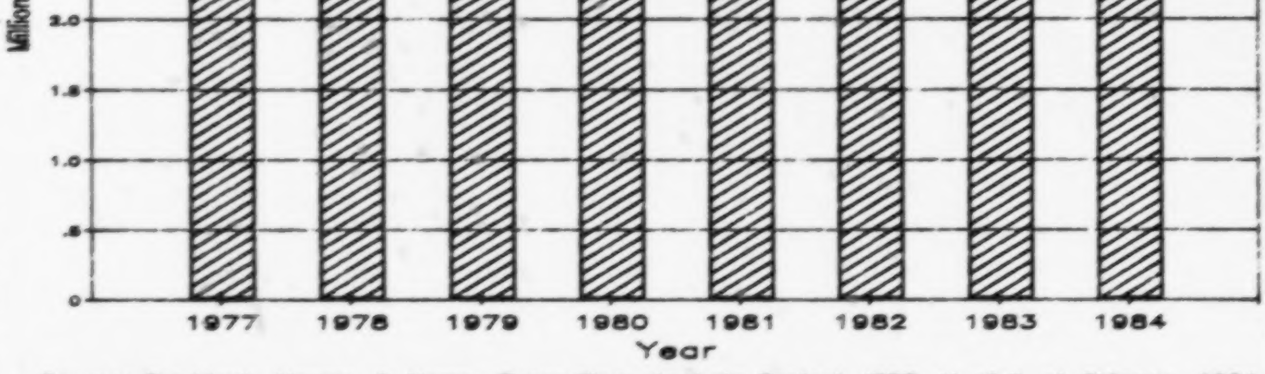
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

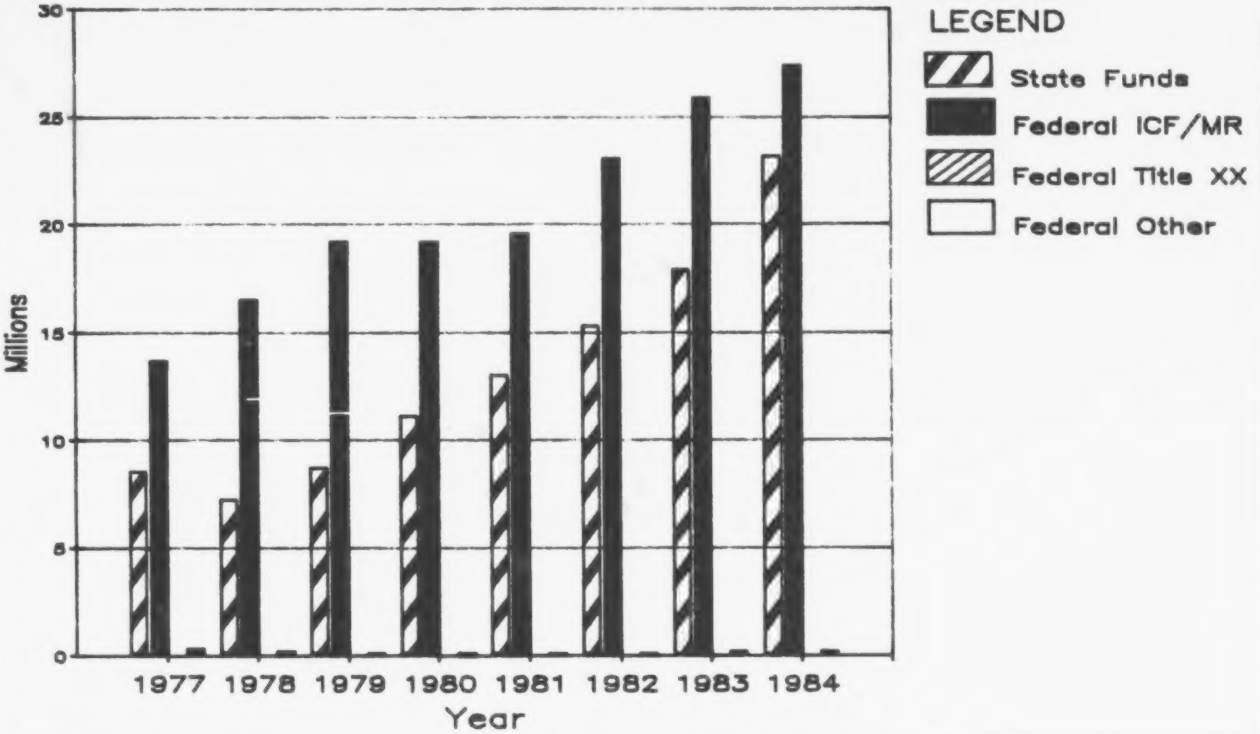


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

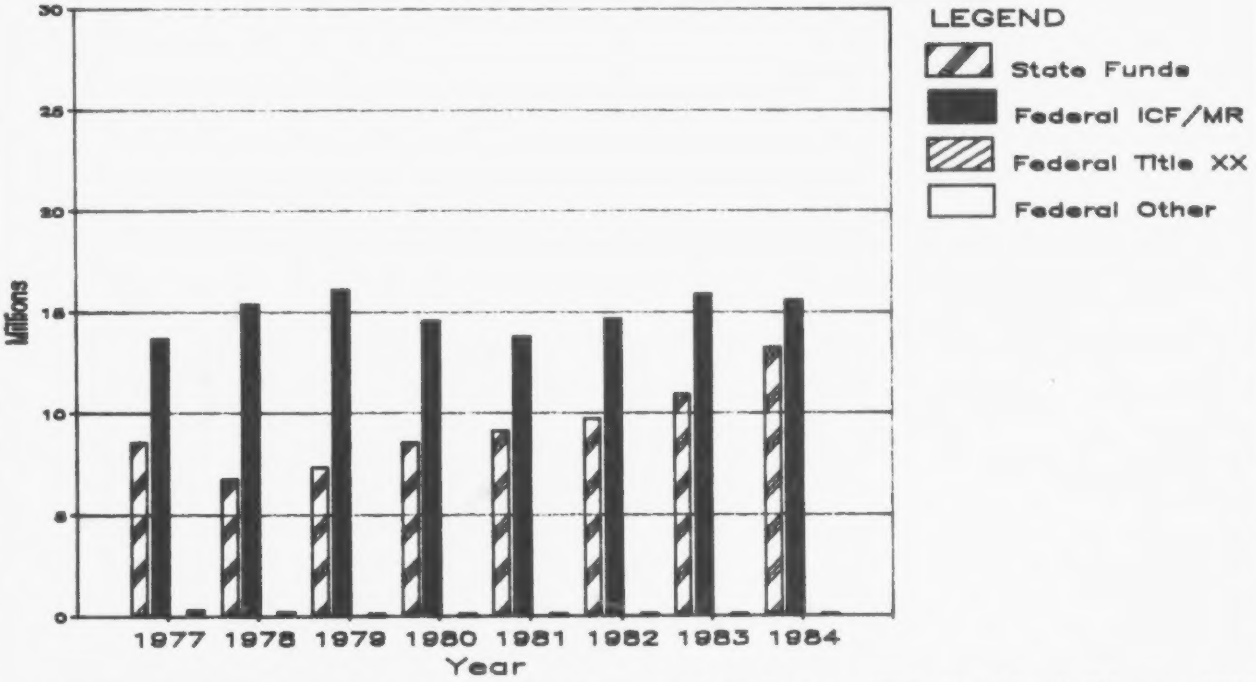
OKLAHOMA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



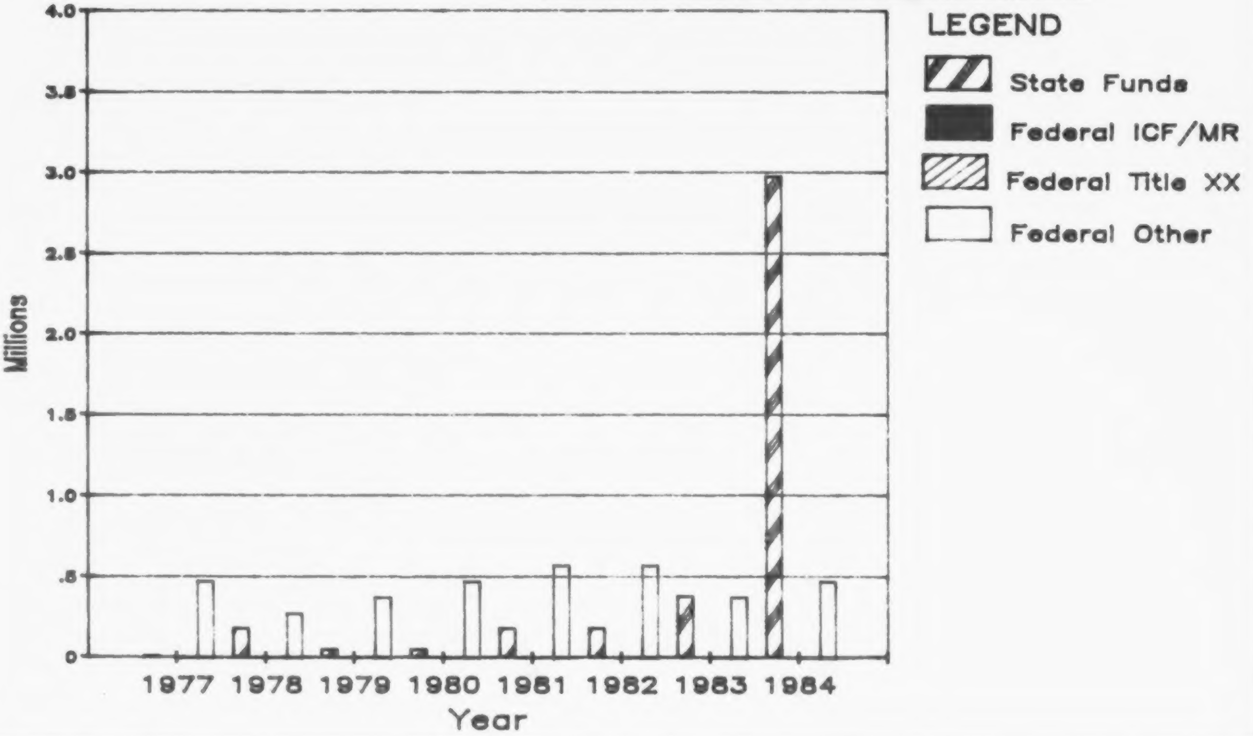
FY 1977–1984, *In 1977 Dollars*



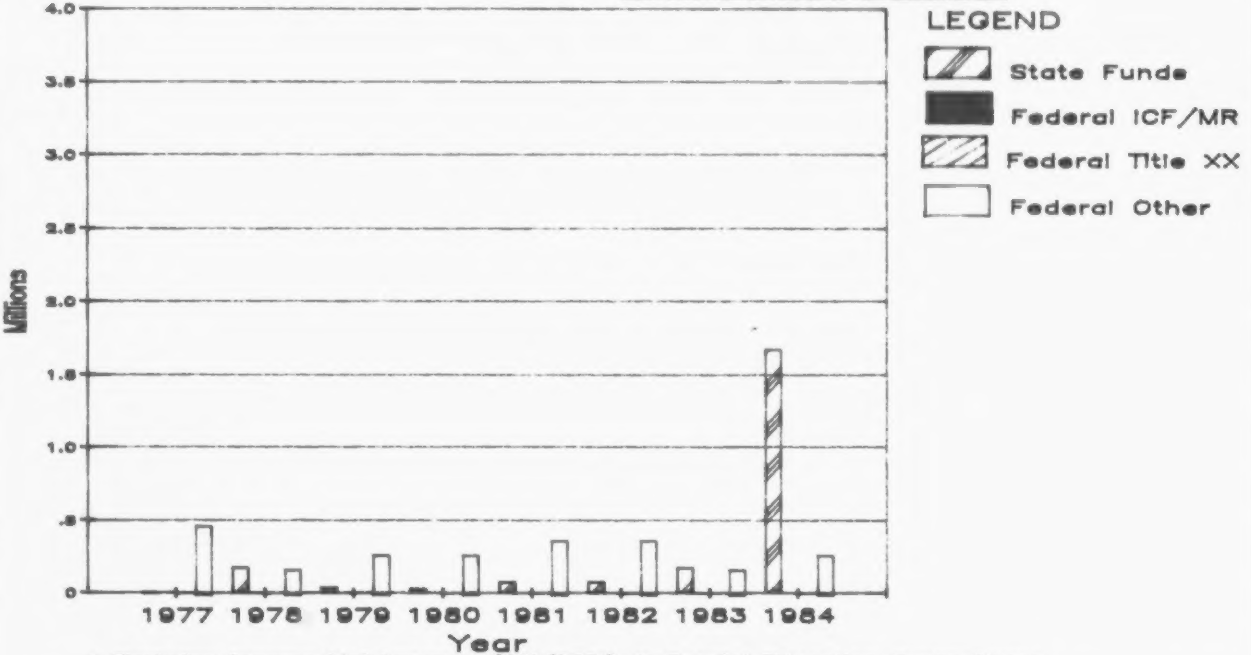
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



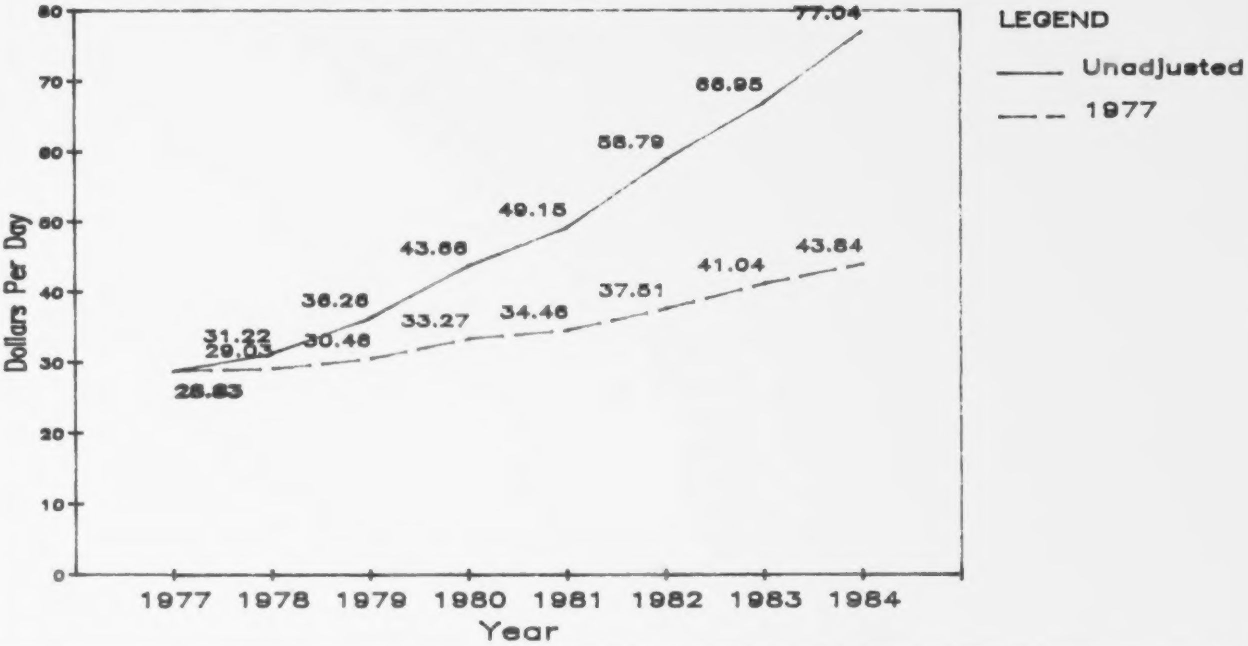
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

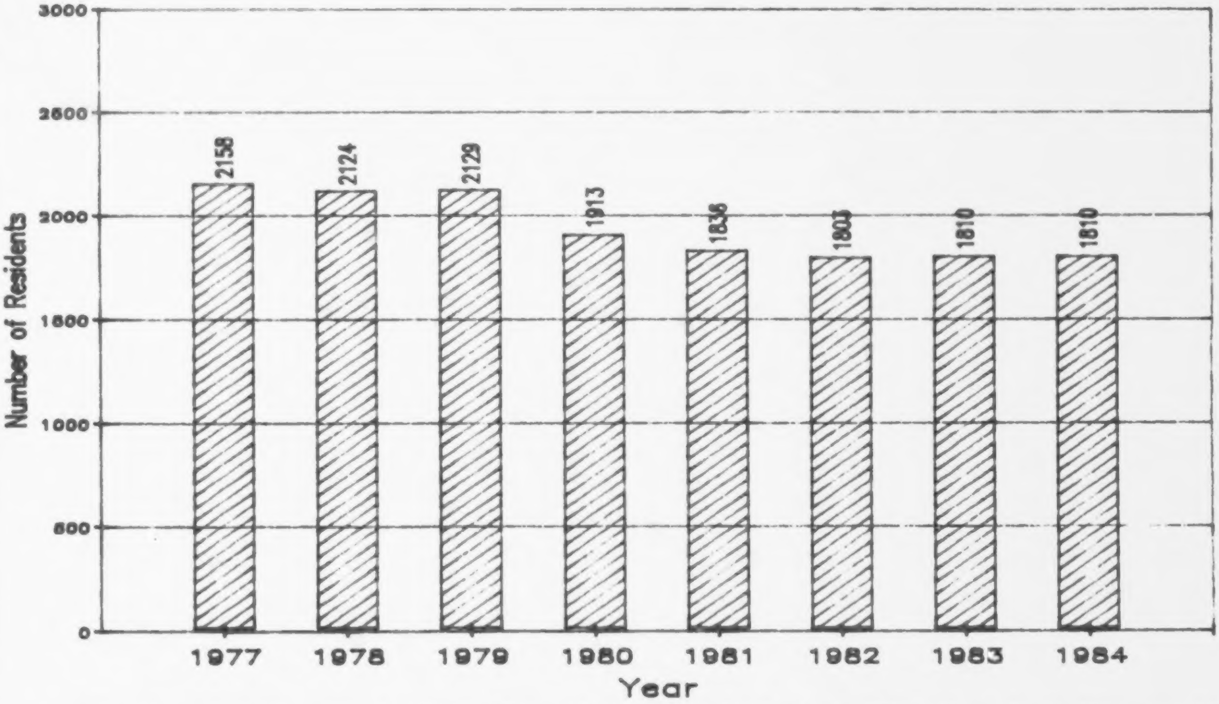
OKLAHOMA

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OKLAHOMA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Division of Developmental Disabilities and Mental Retardation Services (Division of DD/MR) is within the Department of Human Services (prior to FY `81, this was the "Department of Institutions, Social and Rehabilitation Services"). As of 10/11/83, the Chief of the Division of DD/MR began reporting to the Director of Human Services. Prior to this, DD/MR reported to an Assistant Director in charge of Developmental Disabilities, Juvenile Services, and Rehabilitation. The three State Schools for the MR/DD population came under the management of the Division of DD/MR in January, 1983, at the time of the appointment of the current Chief of the Division.

2. Budget Format: Our review of the State of Oklahoma Executive Budget documents suggested the following budget components for MR/DD services in Oklahoma:

Department of Human Services
Annually Appropriated: General Revenue
: Human Services Fund
[General Revenue Special]
Continuous Appropriation: Assistance Fund
Federal
Other
Net Cash Balance

[Expenditures by Activity]*
"Childrens Institutions"--MR
Enid State School
Pauls Valley State School
Hissom Memorial Center
M/R Care-Training (FY `83-`84 only)

*Re-cap; fund sources not available

3. Note on Data Sources: State of Oklahoma Executive Budget documents were reviewed for FY `80, FY `81, FY `82, FY `83 and FY `84. They provided "actual" expenditure figures for FY `77-`82, "budget work program" figures for FY `83, and "Governor's Recommendation" figures for FY `84. However, the Budget documents provided no fund source detail for the State Schools, nor any expenditure figures for Community Services other than General Fund figures of $250,000 for FY `83 and $250,000 for FY `84. Therefore, Jean Cooper, Ed.D., Chief, Division of DD/MR was contacted. She sent 10/5/83 correspondence providing Community and Institutional Services expenditure figures. These figures were categorized "actual" for FY `77-`82 and "revised estimate" for FY `83 and FY `84. Dr. Cooper noted in her correspondence that the expenditure figures were taken from the Oklahoma Department of Human Services Annual Reports, and from Reports of the Oklahoma Commission for Human Services.

II. INSTITUTIONAL SERVICES

3. Institutional Services consists of aggregated expenditures for the Enid and Pauls Valley State Schools and for Hissom Memorial Center.

The published budget documents provided "monthly average" population figures for these institutional facilities (aggregated):

FY 1977 - 2,158
FY 1978 - 2,124
FY 1979 - 2,129
FY 1980 - 1,913
FY 1981 - 1,836
FY 1982 - 1,803
FY 1983 - 1,810
FY 1984 - 1,810 (projected)

4. Other State Funds included in our analysis are those figures reported in the 10/5/83 correspondence as "sales tax." There are no State General Funds reported.

5. Other Federal Funds as reported in the 10/5/83 correspondence consists of Foster Grandparents Federal funds. Title I, Public Law 89-313 Federal funds are managed by Local School Districts, and are therefore not included in the present analysis.

III. COMMUNITY SERVICES

6. Community Services consists of expenditures for the operation of group homes, sheltered workshops, and other privately-run, community-based programs.

7. Other State Funds. As is the case in Institutional Services (Note 4), these figures were originally reported as "sales tax," and there are no State General Funds reported.

8. Title XIX. Although no projections are available at this time, it was noted by Dr. Cooper that the Title XIX Community Care Waiver application was to be submitted by Oklahoma to the Health Care Financing Administration in 1984.

9. Title XX. According to Dr. Cooper, Title XX services in Oklahoma are managed by the Vocational Rehabilitation agency, and the amount of Title XX Federal funds specifically applied to MR/DD services is negligible.

10. Other Federal Funds consists of Developmental Disabilities Act Federal funds.

11. Private ICF/MR. No private ICF/MR programs are funded at this time; however, the Commission on Human Services has authorized participation in future years. The Division anticipates that there will be both 15 beds or less facilities, and facilities of 16 beds and larger, including Nursing Homes (Intermediate Care Facilities) which would be converted to ICF/MR licensure amd certification.

    Some of these Intermediate Care Facilities which are expected to be converted were formerly receiving "specialized rates" (25% higher than the ICF rate) to serve residents discharged from the State Schools. This "specialized rate" program began in 1972, involved six facilities in FY '77 and up to nine facilities in March, 1983 (total 700 beds), when the specialized rate was terminated because of inconsistency with Federal Medicaid regulations. The facilities participating had submitted program plans, which were reviewed for special rate approval by a Department of Human Services (previously "Department of Institutions, SRS") committee, according to Mr. Mike Fogarty, Medical Services Unit (telephone interview, 6/4/84).

    Since these facilities were not ICF/MR facilities, the expenditures are not included in this analysis; consistent with definitions applied to all states' analyses.

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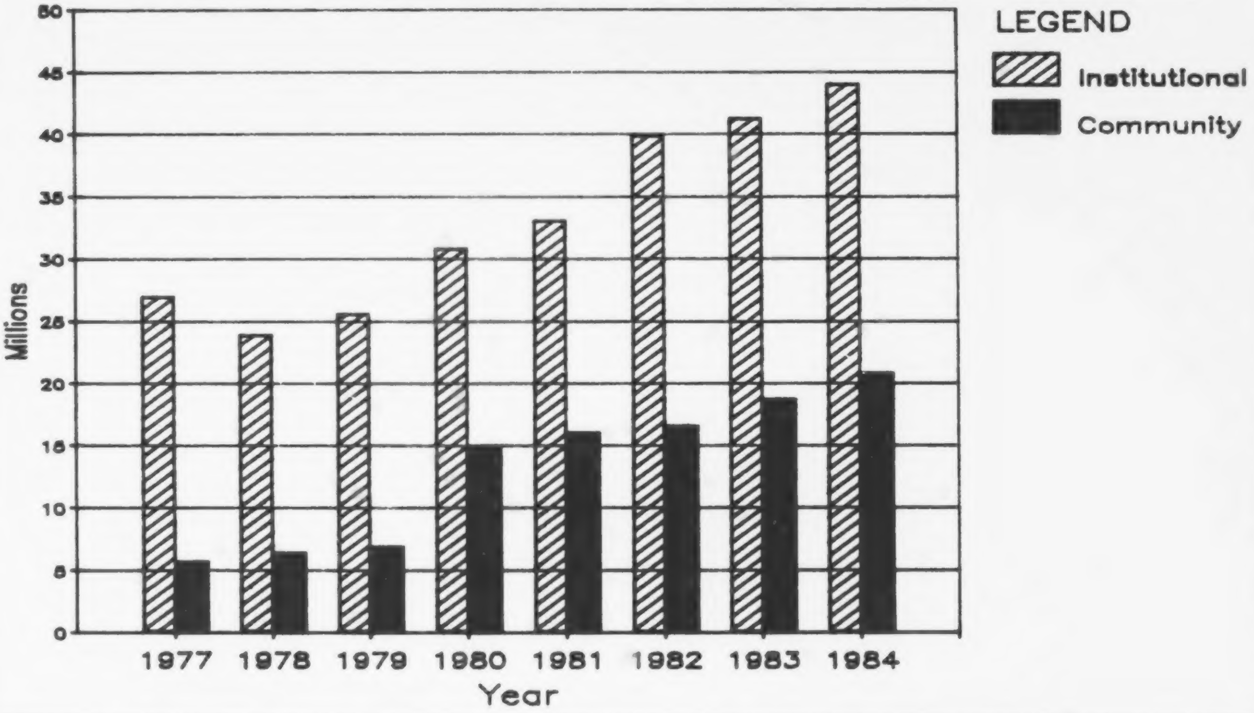
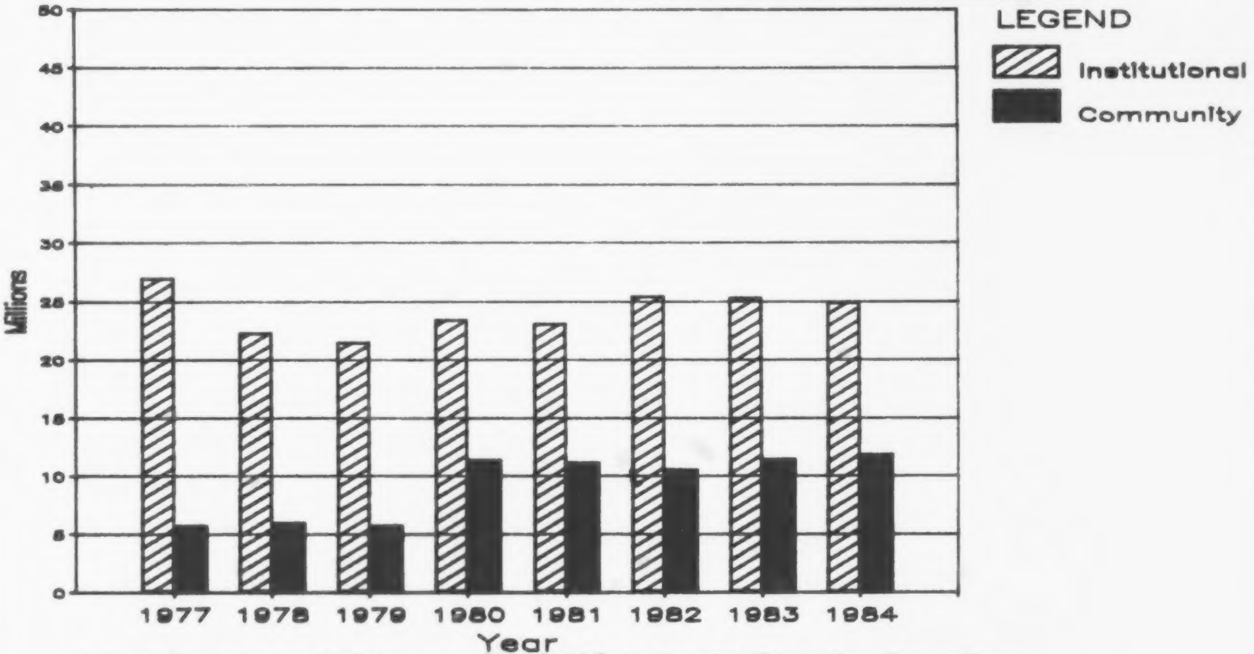
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

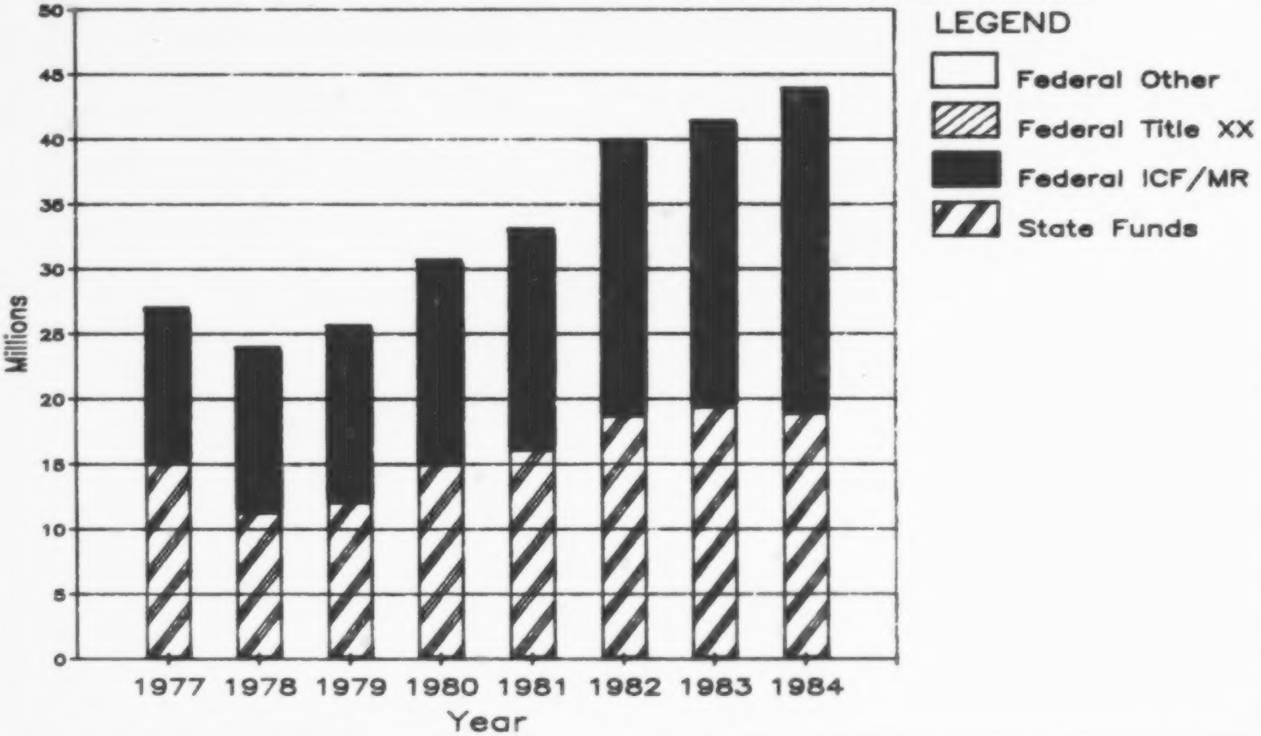


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

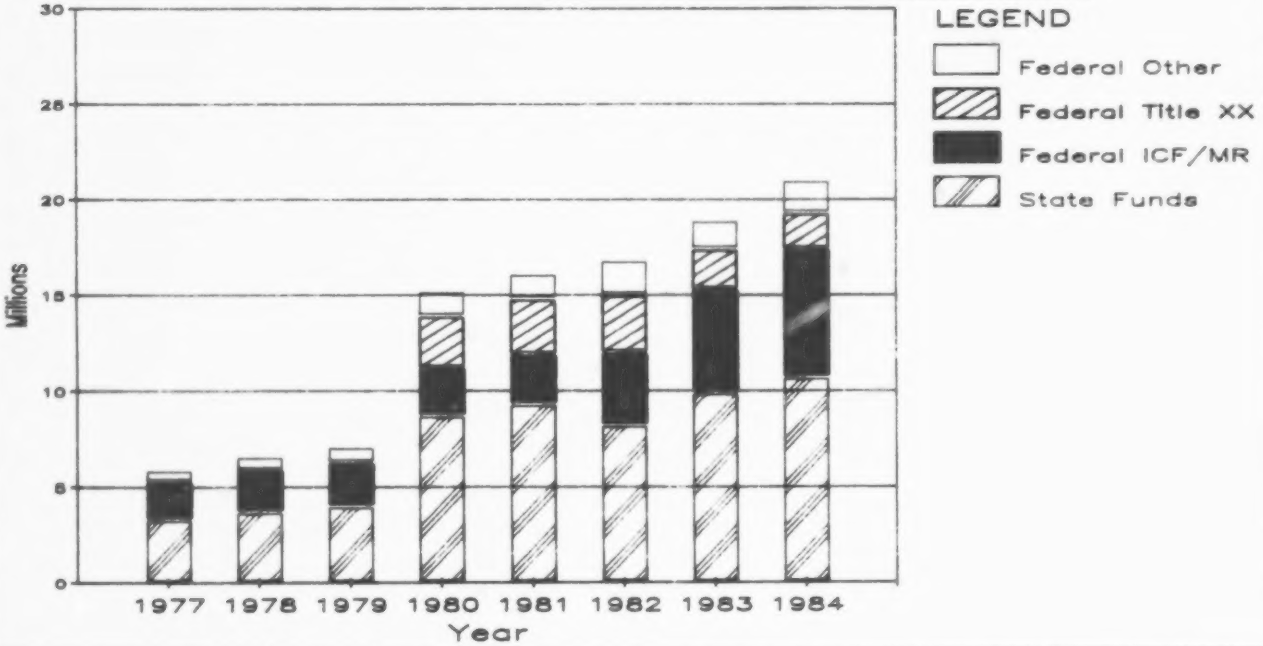
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

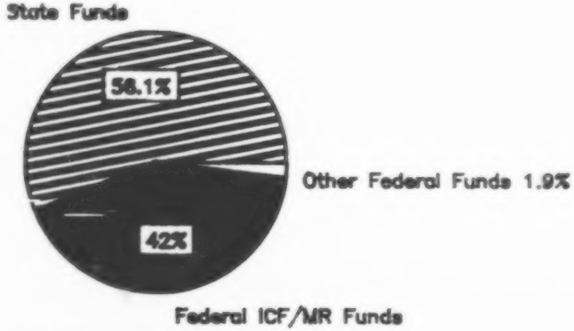
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



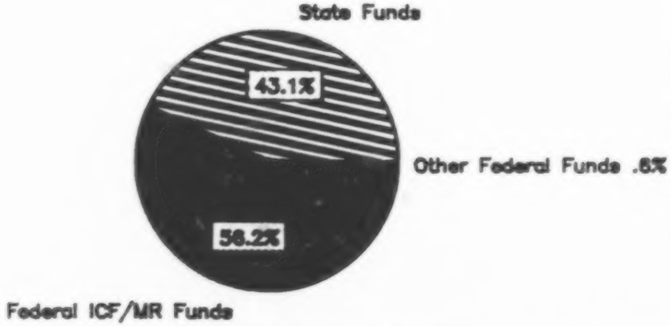
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



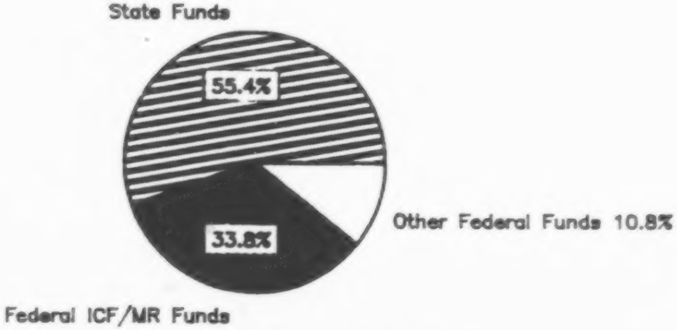
OREGON
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



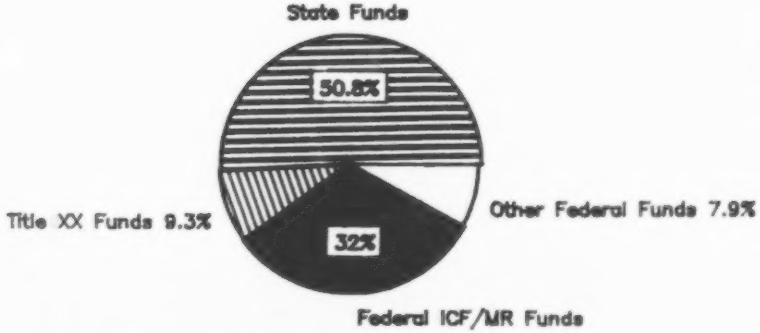
Institutional: 1977 Total Funds—$27.2 Million



Institutional: 1984 Total Funds—$44.2 Million



Community: 1977 Total Funds—$5.9 Million



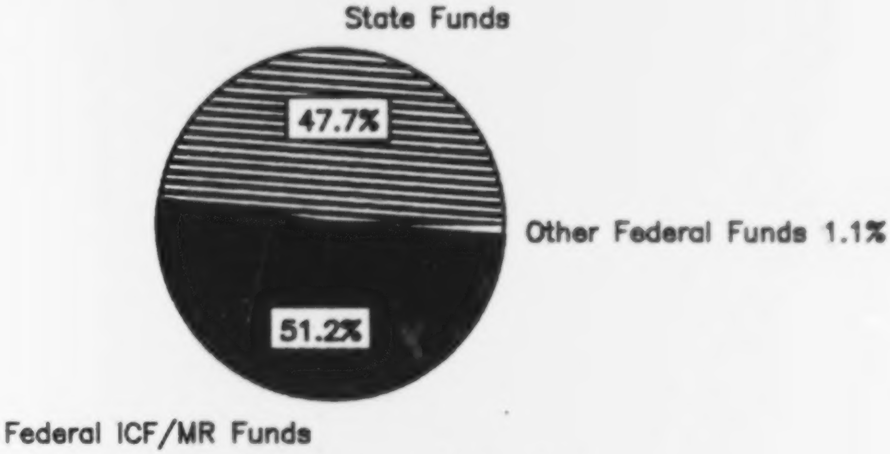
Community: 1984 Total Funds—$21.0 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

OREGON

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

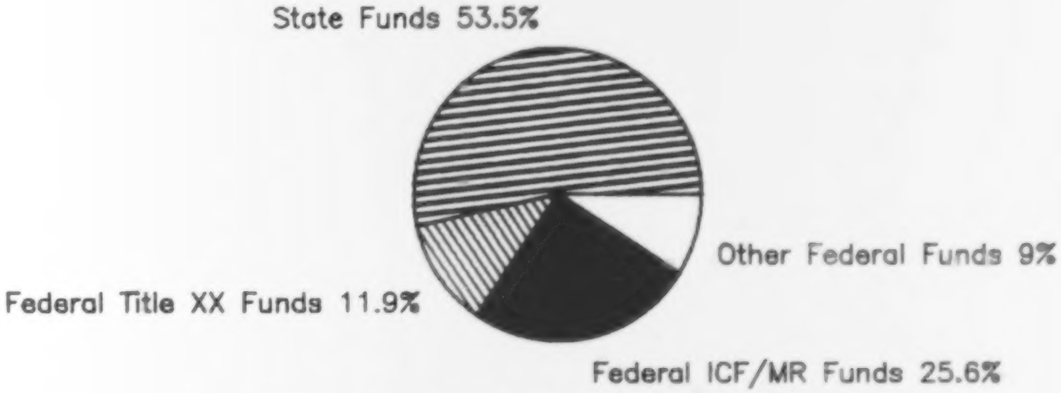
Institutional Services Funds



Total Institutional Dollars: $267 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

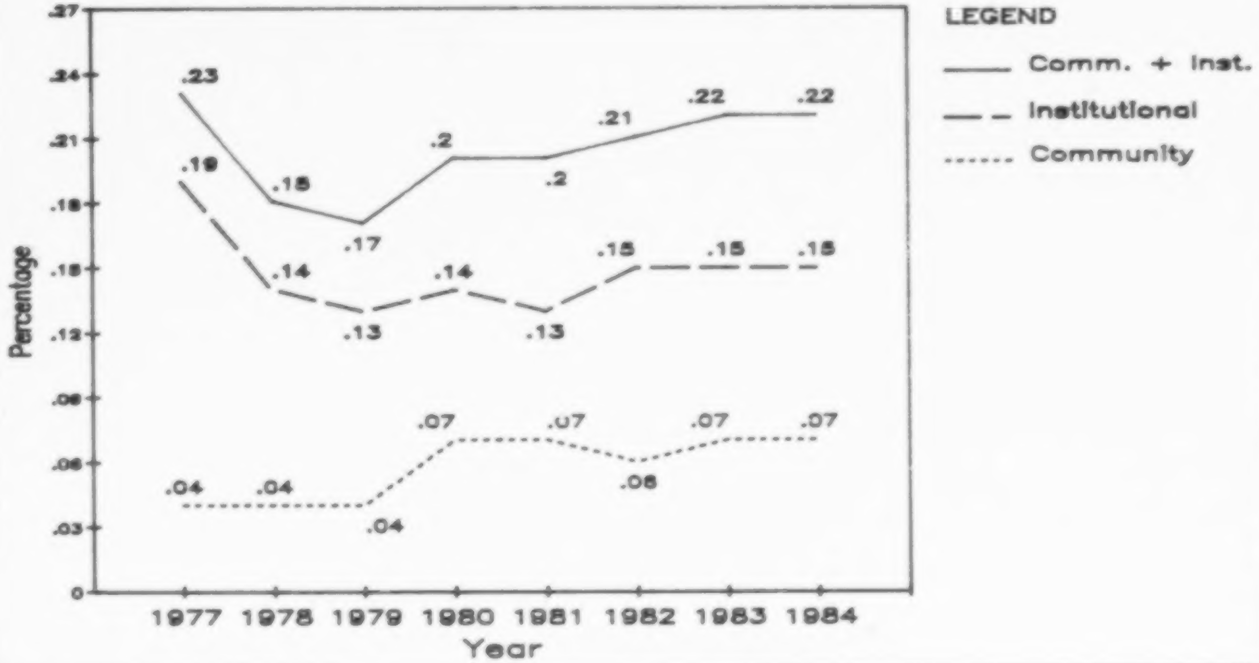


Total Community Dollars: $108 Million

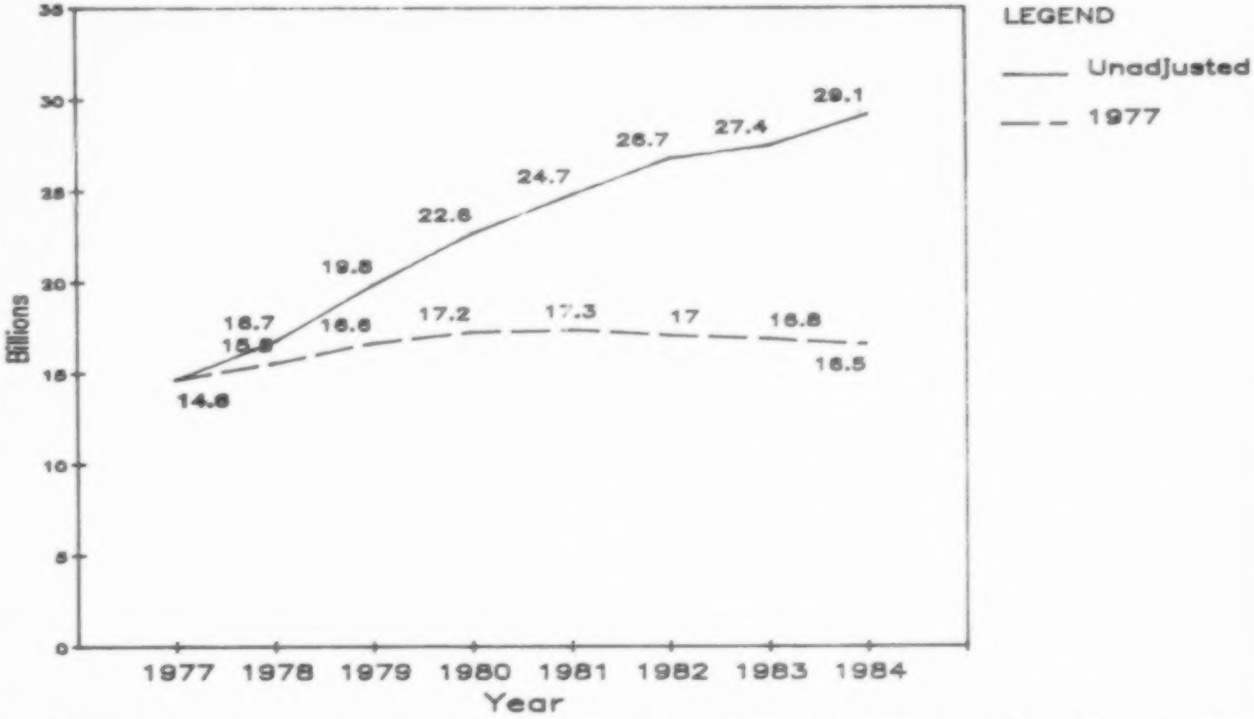
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



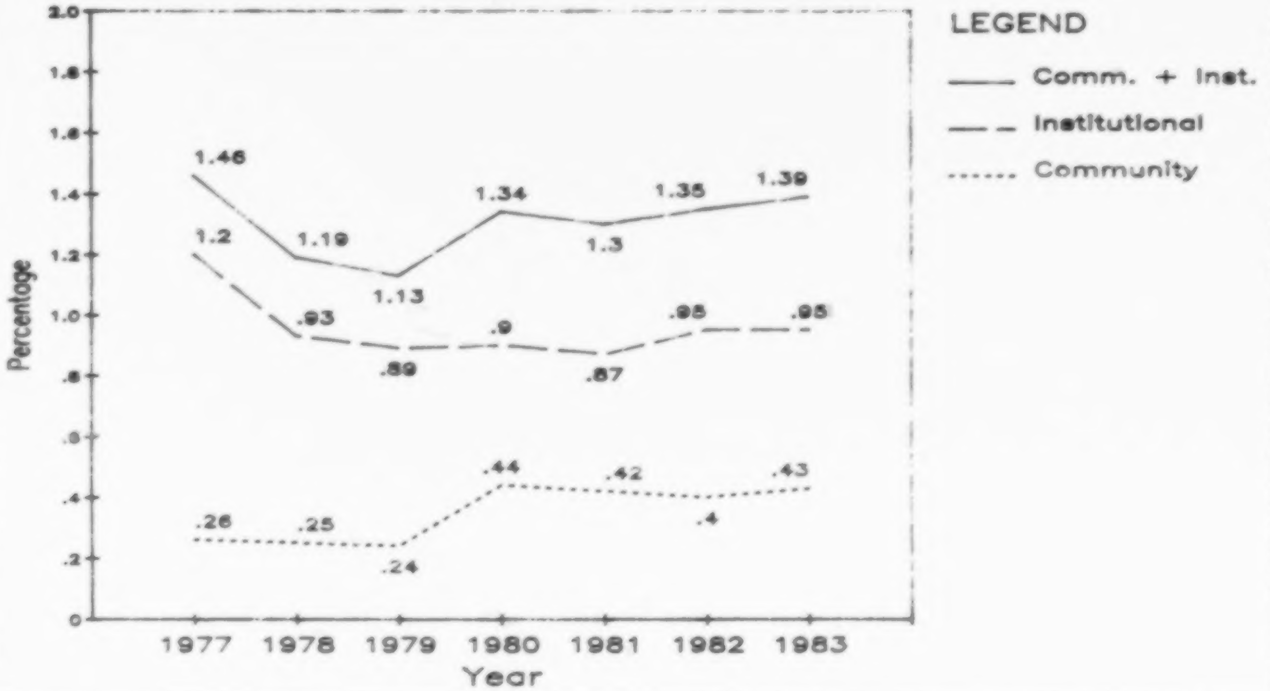
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



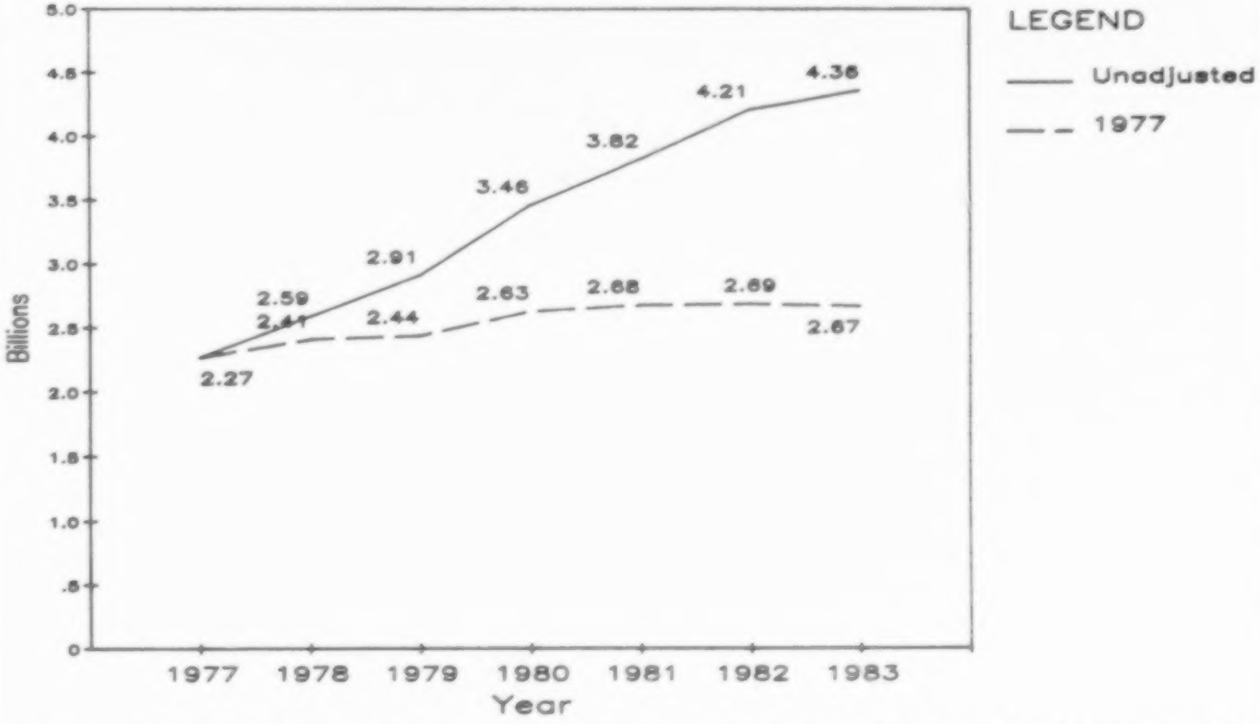
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



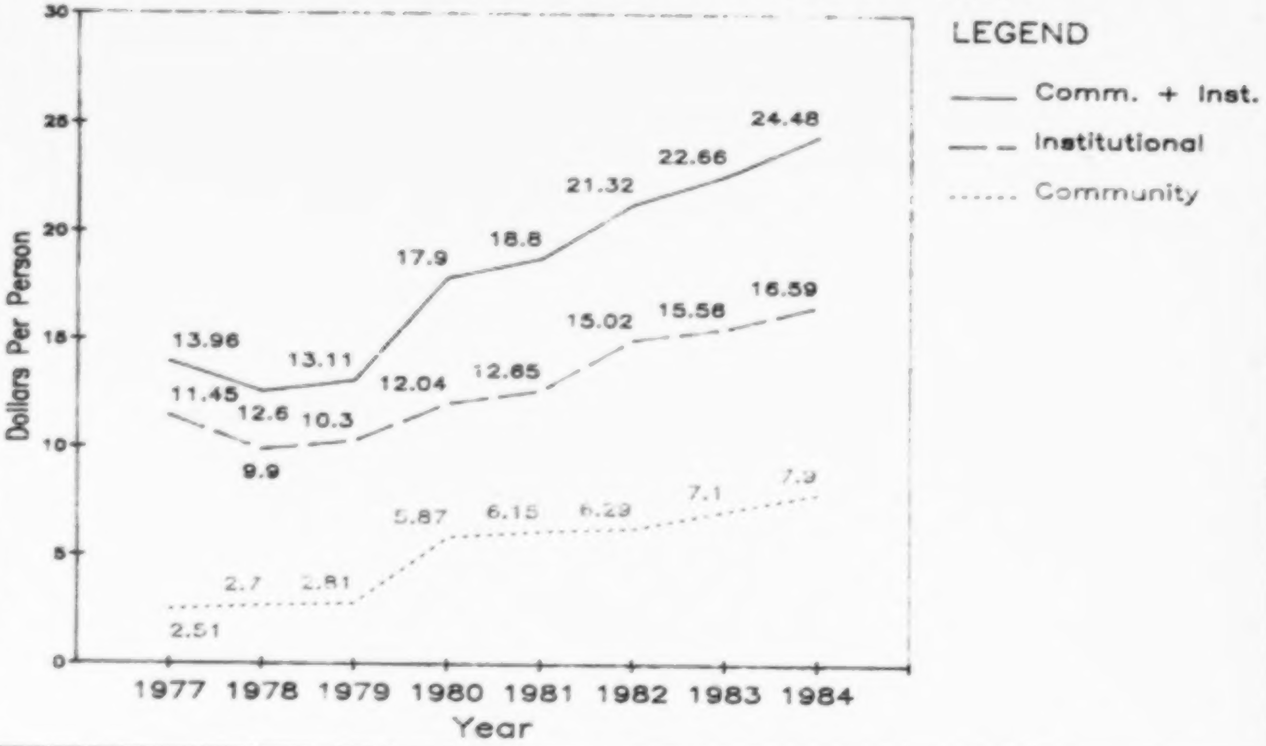
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



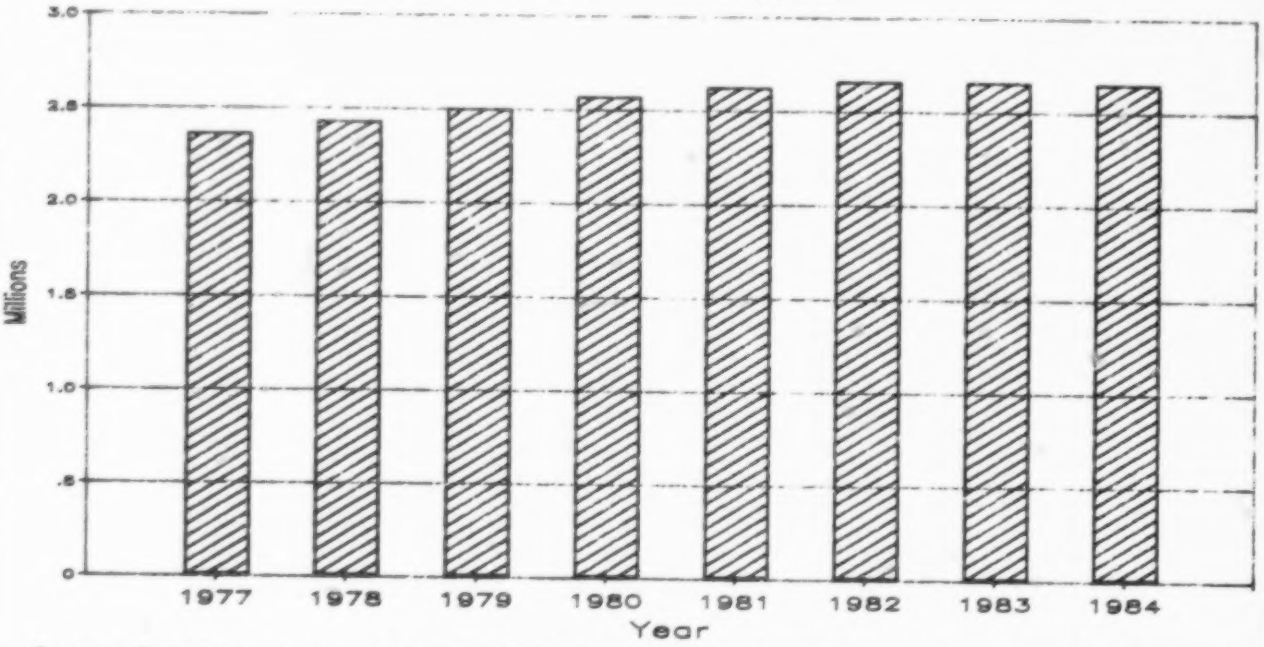
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977--1984

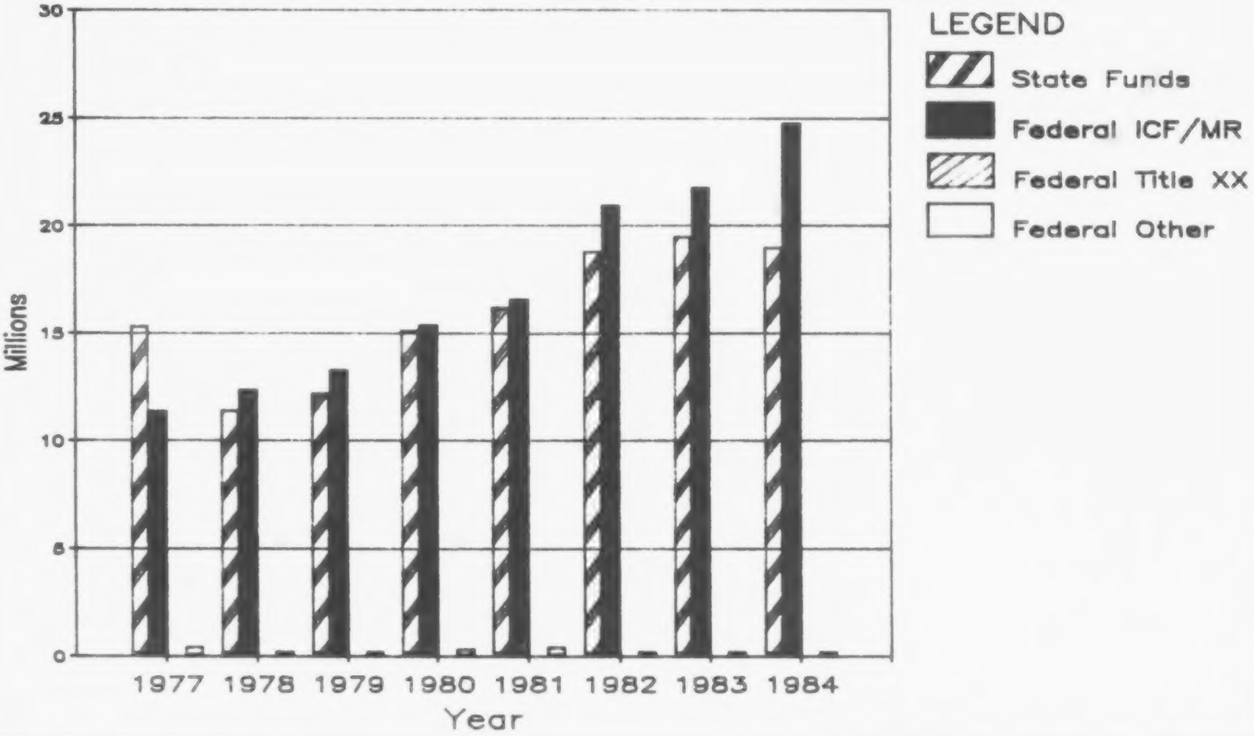


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

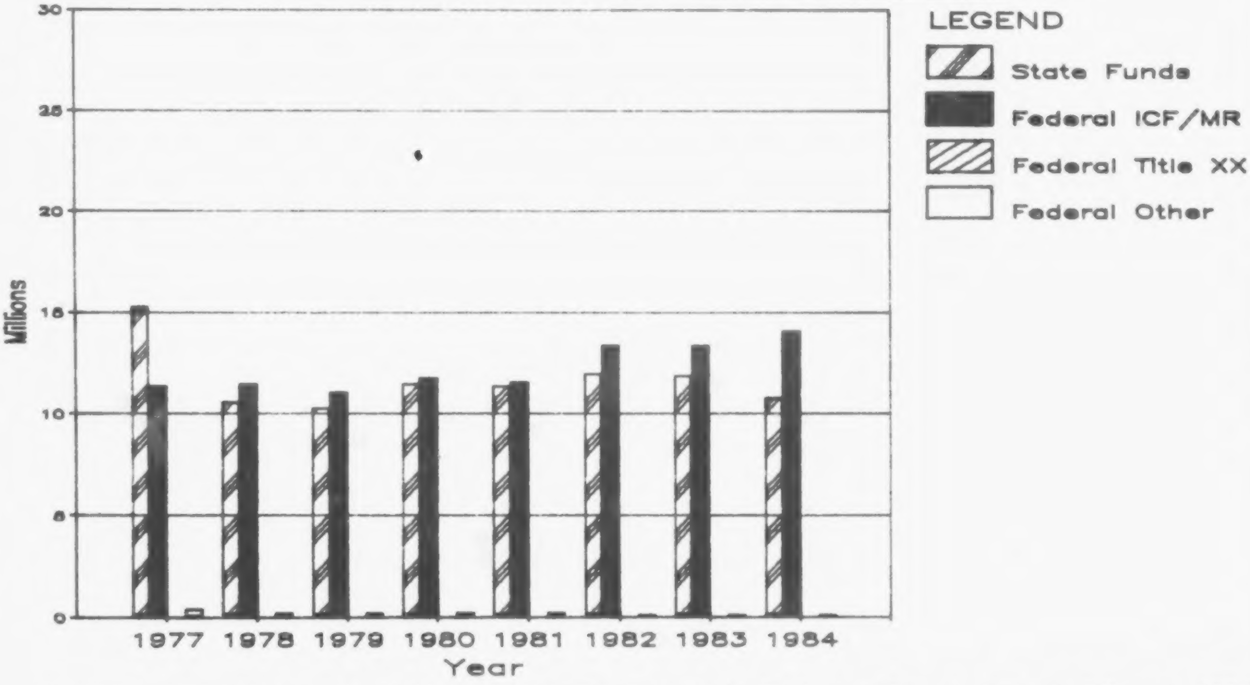
OREGON

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



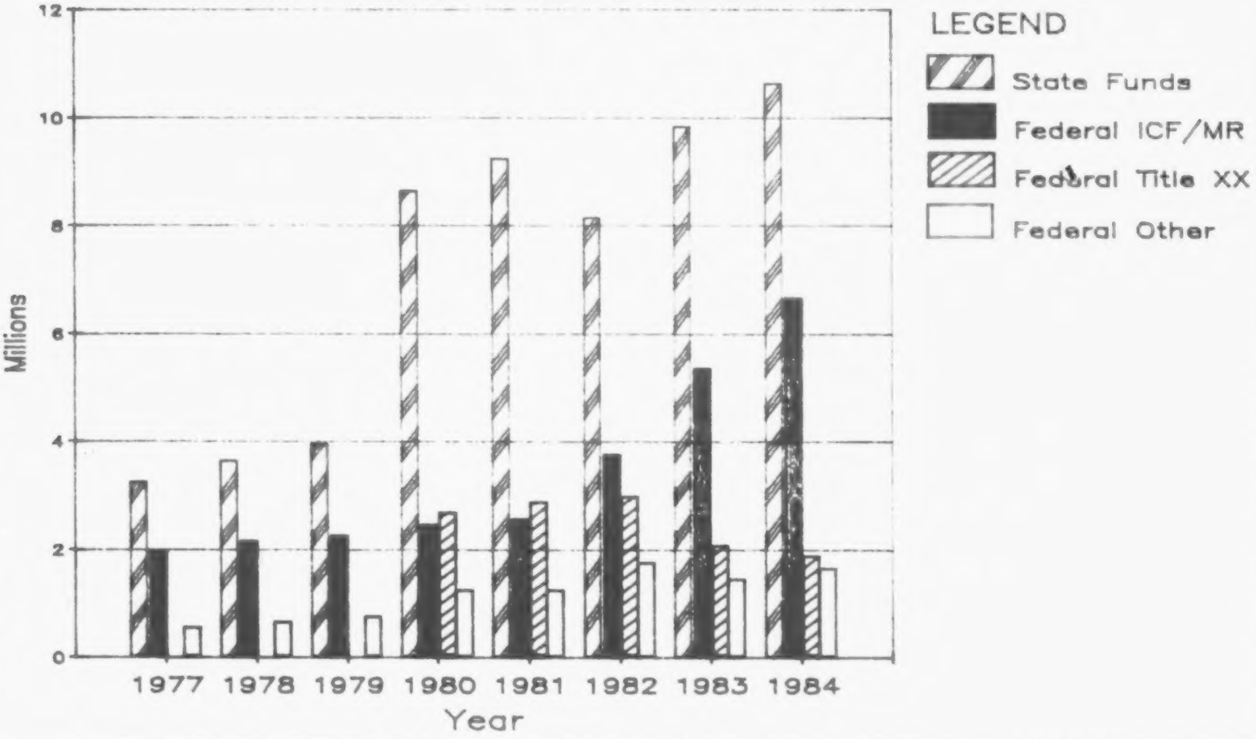
FY 1977–1984, *In 1977 Dollars*



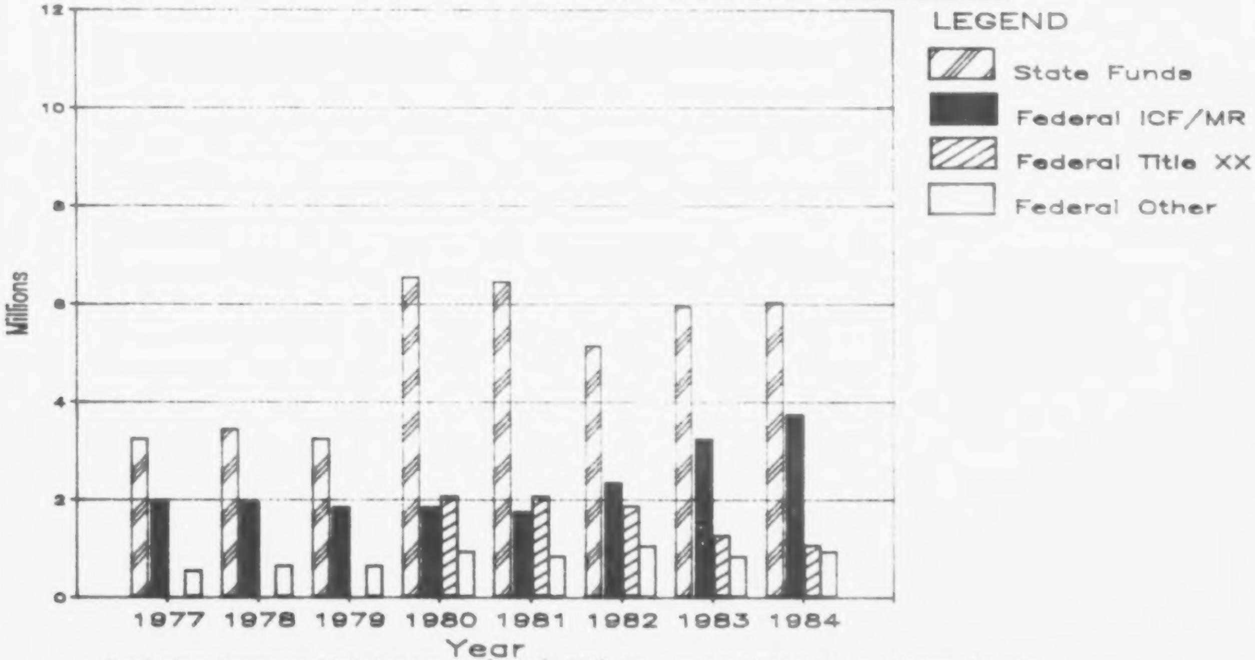
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



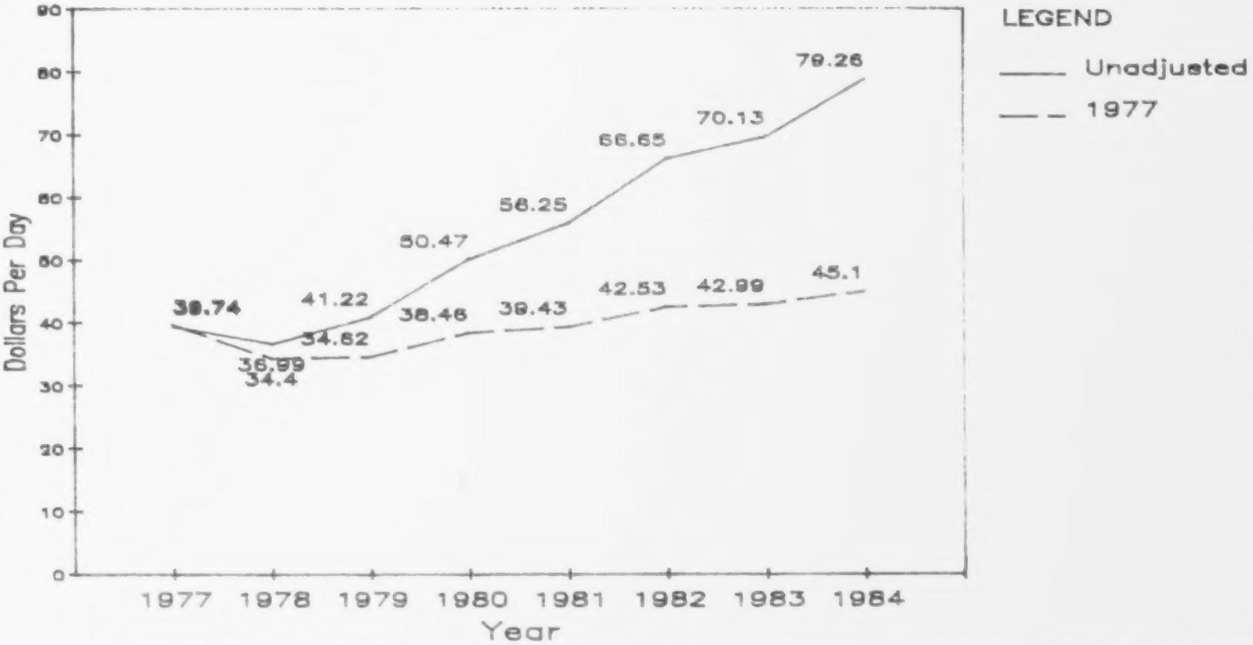
FY 1977–1984, *In 1977 Dollars*



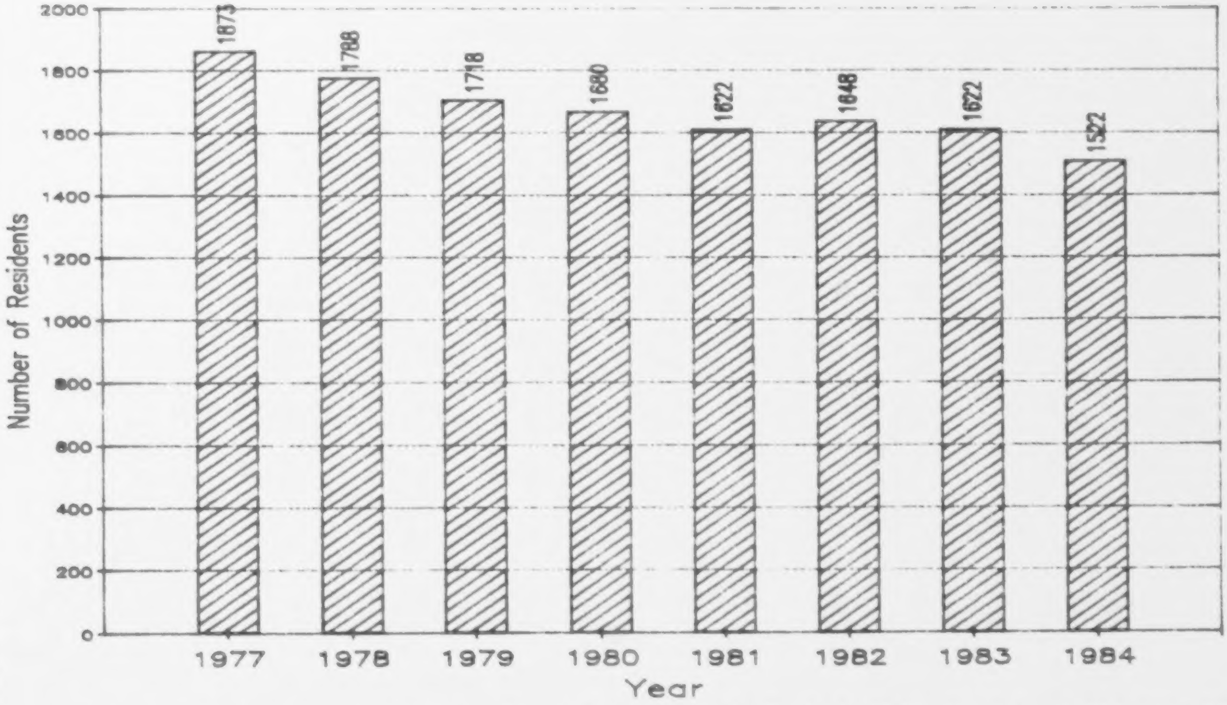
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

OREGON

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Oregon's MR/DD services are administered by the Department of Human Resources/Division of Mental Health. There is a distinct MR/DD organizational unit called "Programs for Mental Retardation and Developmental Disablitities," headed by an Assistant Administrator.

2. Budget Format: MR program elements are presented in the Executive Budget in the following format:

1983-85 Biennial Budget
Department of Human Resources
Mental Health Division
Administration
General Funds (The same three fund
Other Funds sources appear under
Federal Funds each subdivision).
Local Mental Health Services
State-Operated Services
Medical Assistance and Enterprise Fund
Capital Improvement
Capital Construction
Totals

1979-81 Biennial Budget:
Mental Health Division
Administration
Program for Mental & Emotional Disturbances
Program for Alcohol & Drug Problems
Capital Improvement
Capital Construction
TOTAL
(Same fund sources as 1983-`85 budget.)

3. Note on Data Sources: Despite the fact there is a distinct organizational MR program, the Mental Health Division's budget combines Mental Health and MR expenditures. The Governor's 1983-85 budget has only three program subdivisions within the MH division: 1) Administration, 2) Local MH Services and 3) State Operated Services. In addition, expenditures for the two fiscal years in each biennum are combined into one figure.

However, for each biennium the MR/DD Office puts together a workbook with which to defend the budget before the State Legislature`s Ways and Means Committee. The expenditure figures used in our analysis are from that document as provided by the Financial Manager of the MR/DD Program Office (Keith Baker, letters, 11/7/83 and 11/28/83). Capital construction costs incurred by the State of Oregon are included in the state's operating budget, but these expenditures are excluded from our analysis. The federal share of ICF/MR reimbursement of capital costs is included, however.

II. INSTITUTIONAL SERVICES

4. Institutional Services includes funding of Fairview Hospital and Training Center and a portion (based on population) of Eastern Oregon Hospital and Training Center, which has both MI and MR residents. Eastern, however, was converted to a prison in 1984. The 330 residents were relocated: 90 went to a new 90 bed faciltiy across the street from

the old institution, 100 to Fairview and the remainder into various community-based residences. The Eastern Oregon Center terminated operations on July 30, 1984. The combined facility average daily MR population in Oregon has been:

1977 - 1873
1978 - 1788
1979 - 1718
1980 - 1680
1981 - 1622
1982 - 1648
1983 - 1622
1984 - 1522
1985 - 1458 (projected)

(Diana Hartwig, MR/DD Program Office, telephone interview, 6/2/84.)

5. State General Fund includes the state share of Title XIX.

6. Title XIX: HCFA reports federal ICF/MR reimbursements of $13,409,000 in FY `77. The DD program budget does not show receipt of those reimbursements. According to the DD Division Financial Manager, these Title XIX funds were received by the single state agency, the Division of Adult and Family Services (Department of Human Resources) and do not appear in the DD budget. Our analysis, however, includes federal Title XIX expendtures for 1977 as supplied by HCFA. The total amount recorded by HCFA ($13,409,000) included $2,011,000 which we distributed to private ICF/MR`s (see Note 10) and $11,398,000 which we recorded as Institutional Services expenditures. For all other years, the Federal share of Title XIX funds appears in the state budget documents within the "Other Funds" category.

7. Other Federal Funds include ESEA, Chapter 1 funds.

III. COMMUNITY SERVICES

8. Community Services are run by the County Mental Health programs which in turn provide (or contract to other local providers) residential and day services.

9. Title XIX Oregon's Medicaid Waiver was one of the first approved by HCFA and expenditures for waivered services first appear in the FY `82 budget. In addition, there are approximately $500,000 per year of Title XIX administrative funds in this line which are used for case management at the County Mental Health programs.

10. Other Federal Funds include DD Council funds and ESEA education funds. The Division of MH supplements the state aid given to local school districts to help cover the costs of educating MR/DD students.

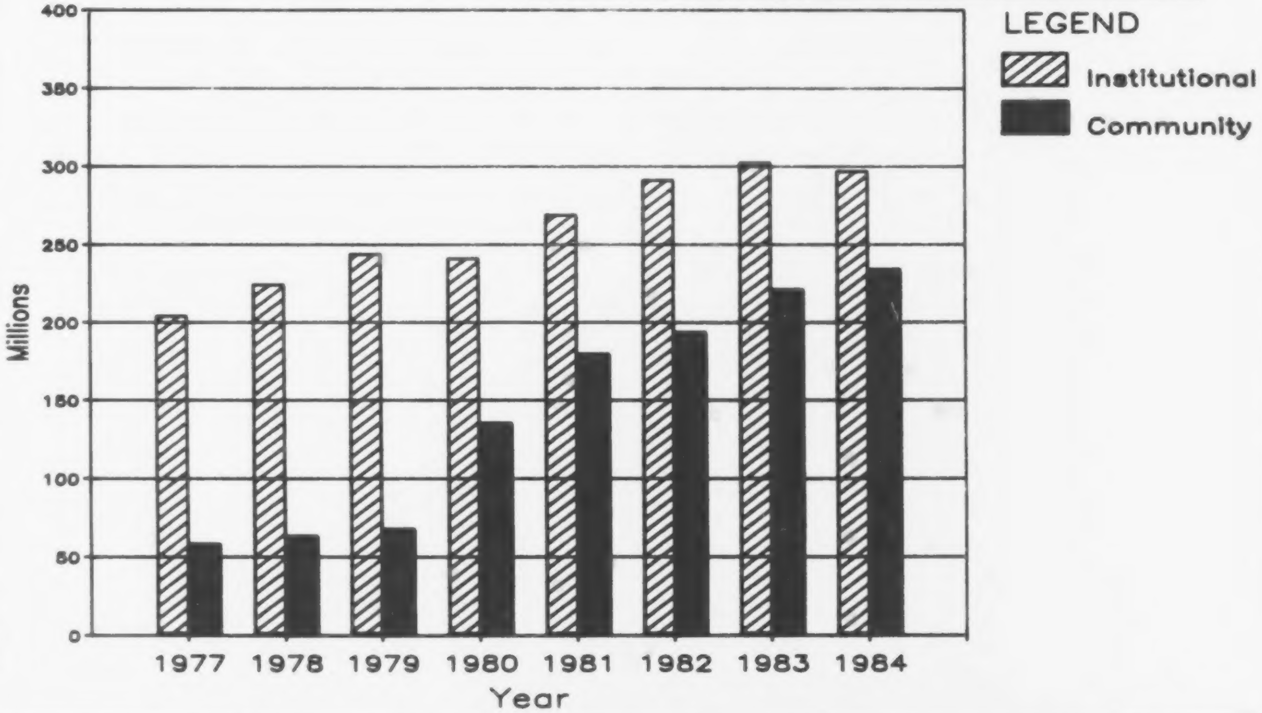
11. Private ICF/MR. There are currently 8 private ICF/MRs ranging in size from 10 to 80 beds. Since FY `82, expenditures for these private ICF/MRs have been included in the "Local/Community Services" section of the MH Division budget. For this analysis the federal and state shares are displayed separately. The following federal matching rates, obtained from HCFA, were used:

1977 - 59.4%
1978 & `79 - 57.29%
1980 & `81 - 55.66%
1982 & `83 - 52.81%
1984 - 57.12%

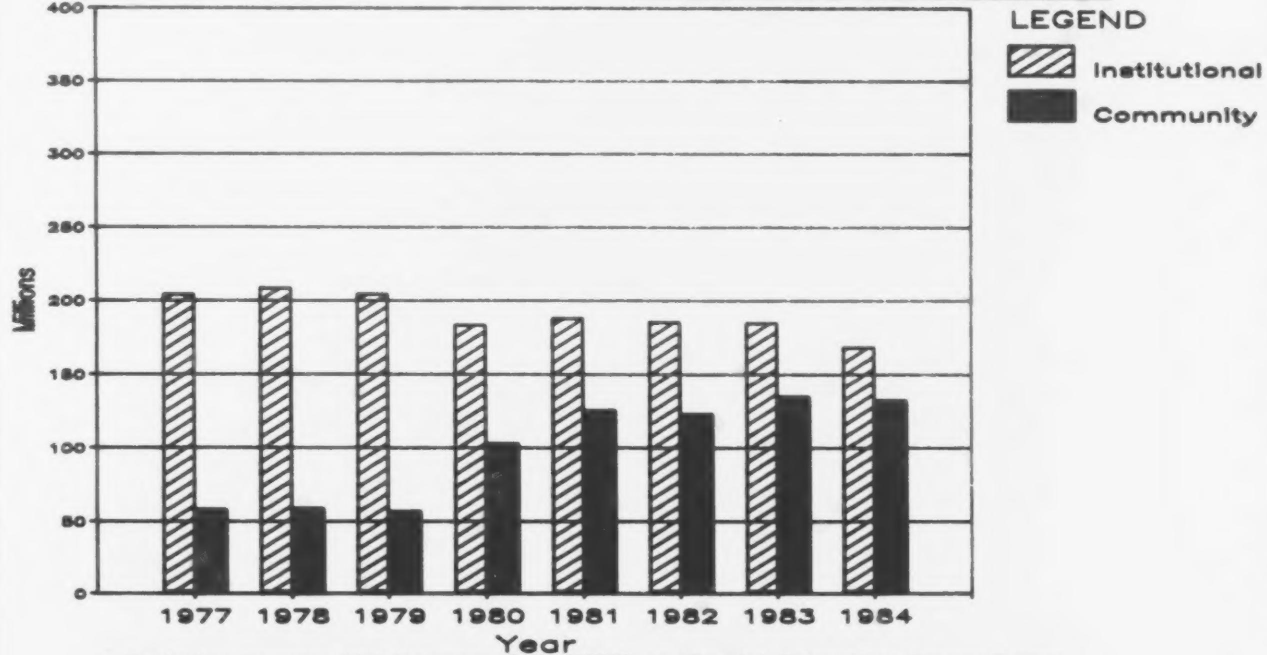
Prior to 1982, Private ICF/MR funds were in the budget of the Human Resources agency. The Division Financial Manager stated that exact expenditures are not available from the Division of Adult and Family Services, but they could be reasonably estimated assuming a 7% inflation rate, and projecting from the FY `82 figure to prior years (Keith Baker, telephone interview, 11/28/83). These projections were done, and utilized for this analysis.

PENNSYLVANIA
STATE PROFILE

PENNSYLVANIA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

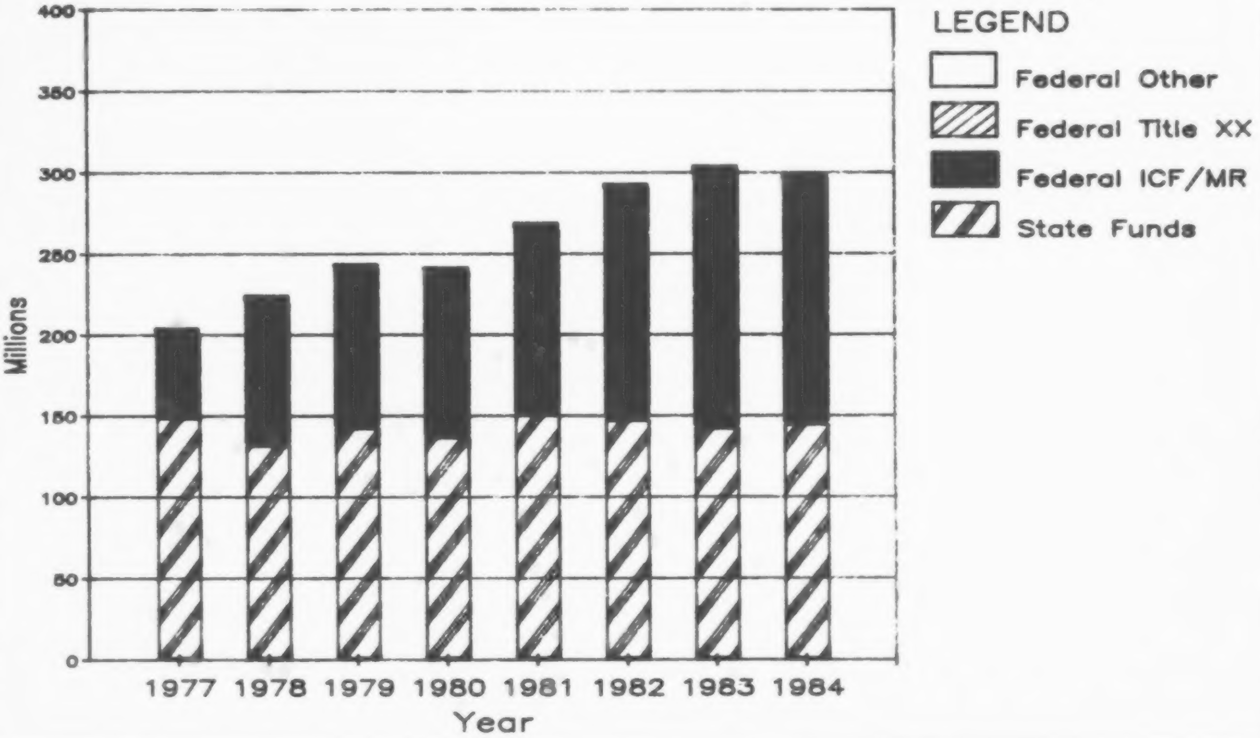


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

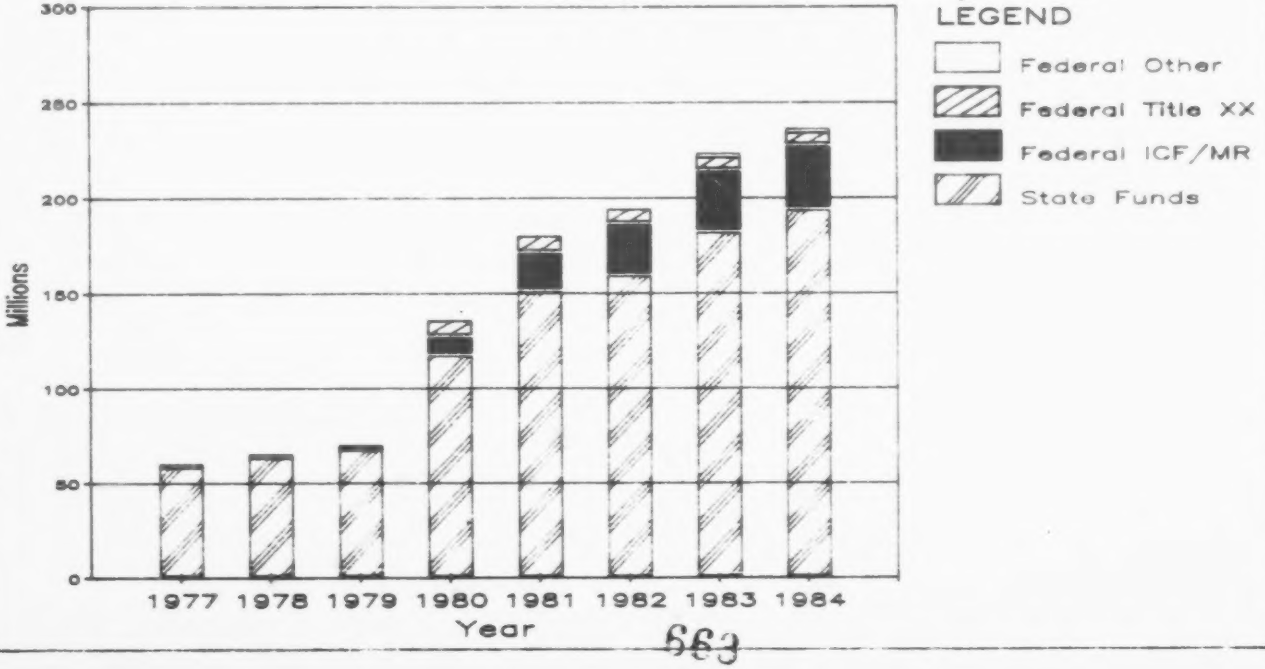
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



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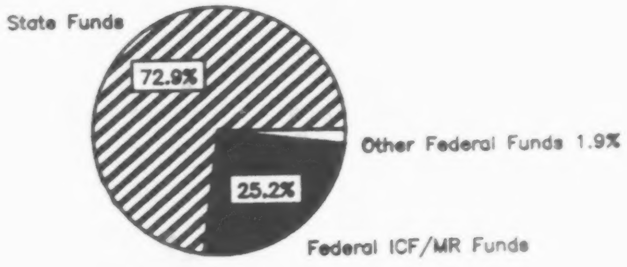
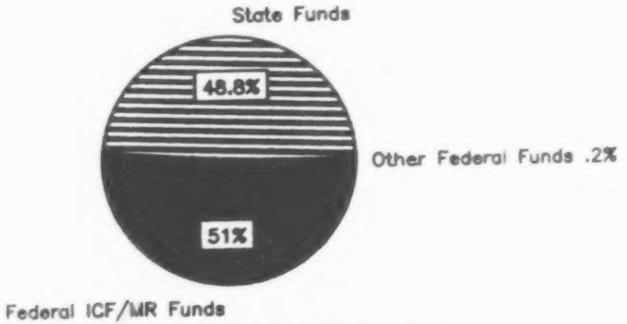
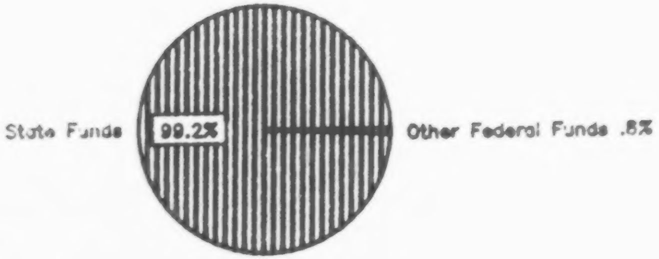
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



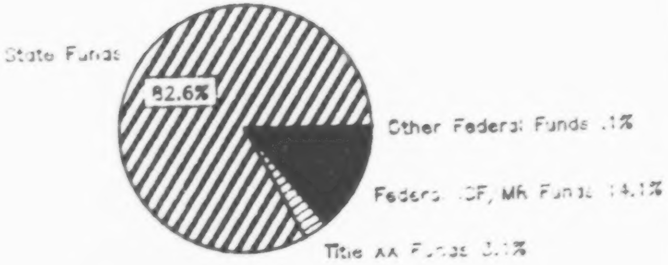
Institutional: 1977 Total Funds—$205 Million



Institutional: 1984 Total Funds—$298 Million



Community: 1977 Total Funds—$59 Million

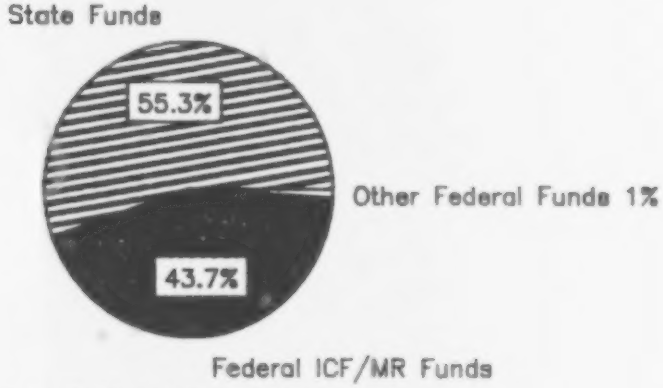


Community: 1984 Total Funds—$235 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed Funds. Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo., 1984

PENNSYLVANIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

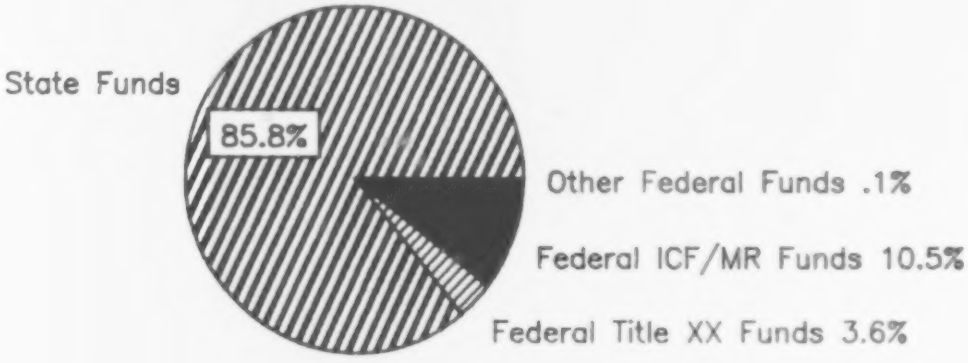
Institutional Services Funds



Total Institutional Funds:$2.08 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

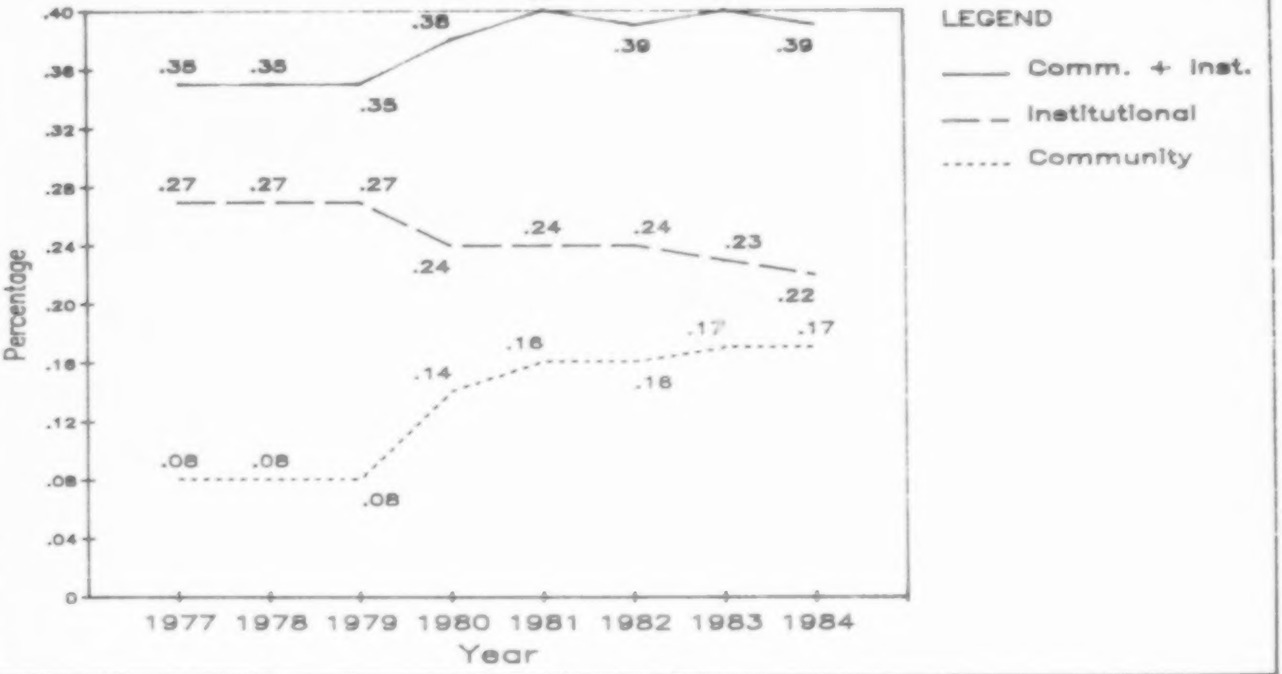


Total Community Dollars:$1.16 Billion

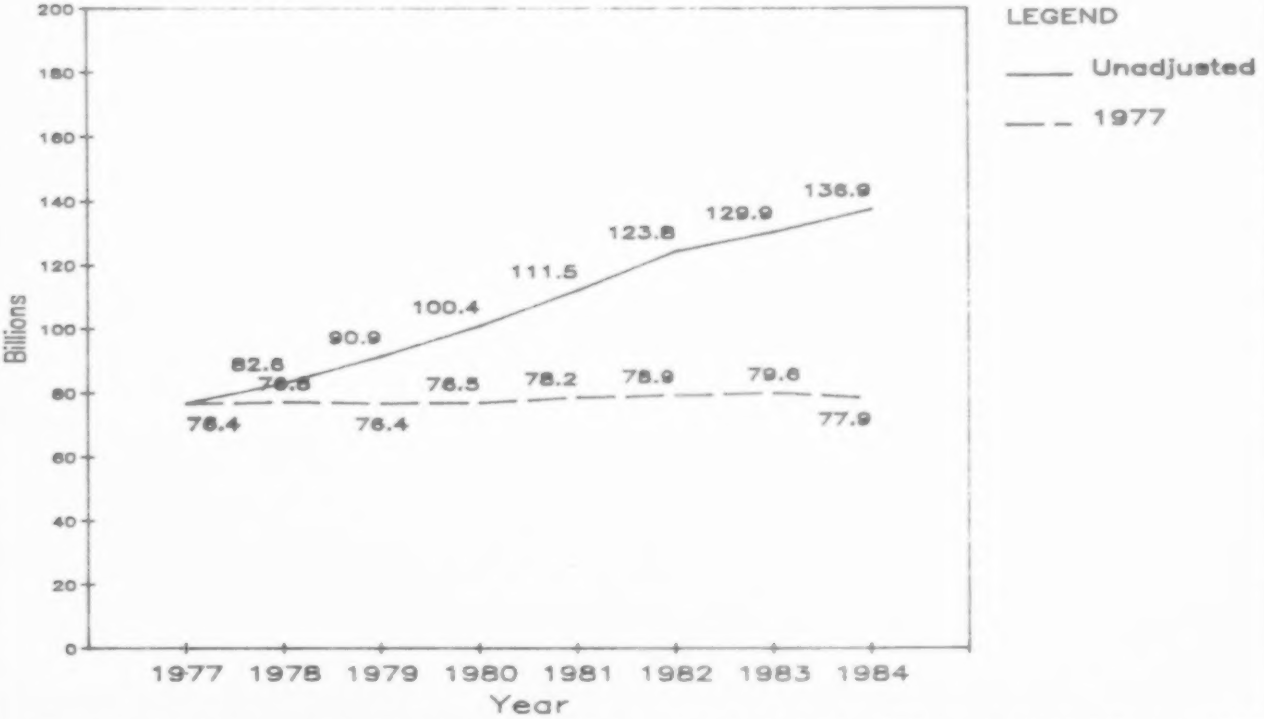
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



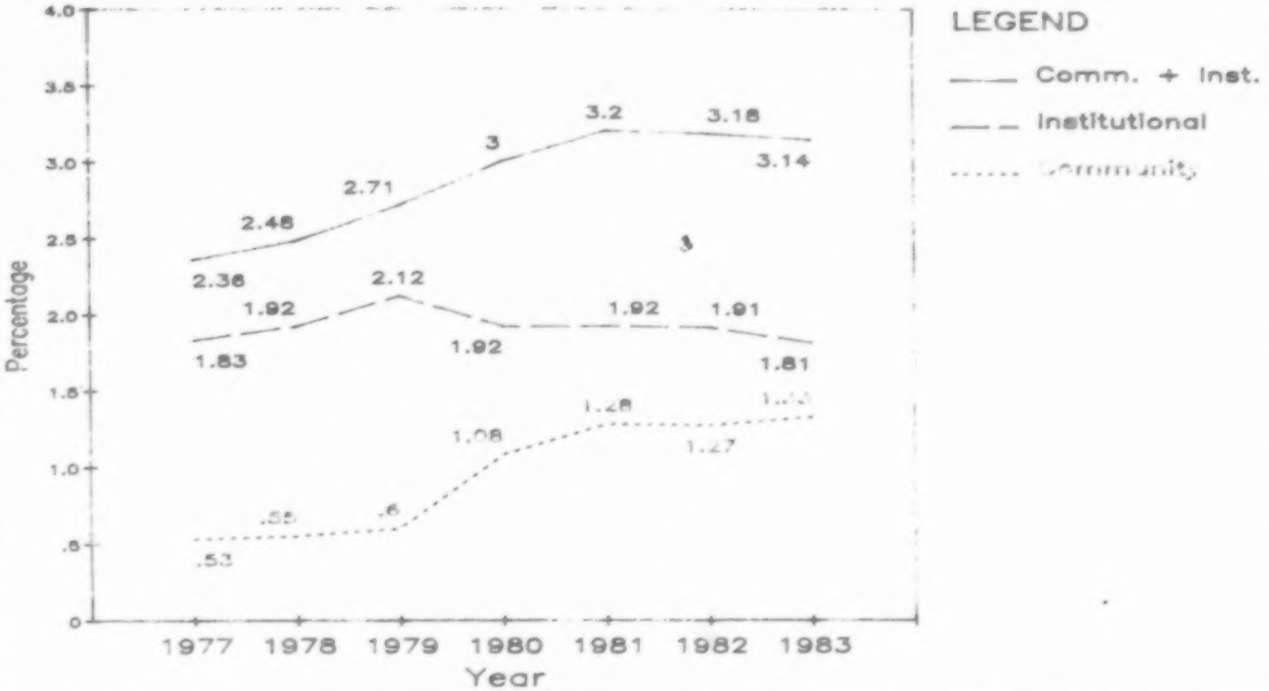
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



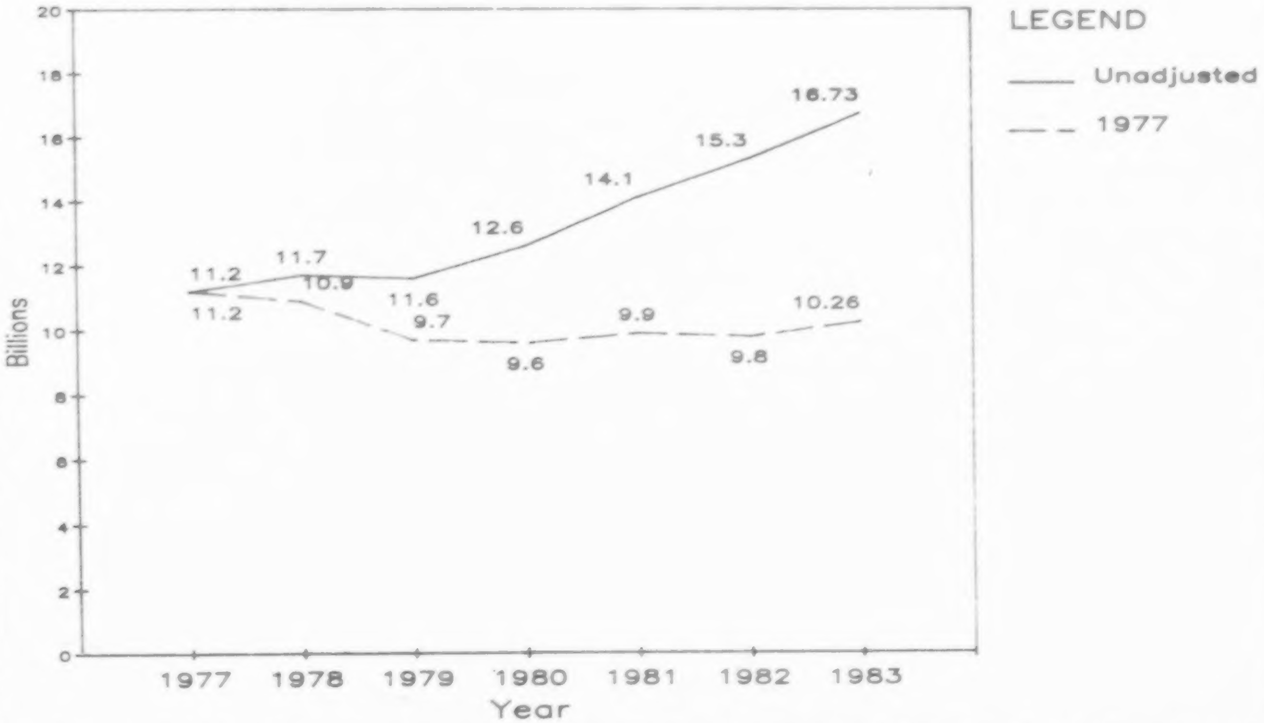
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

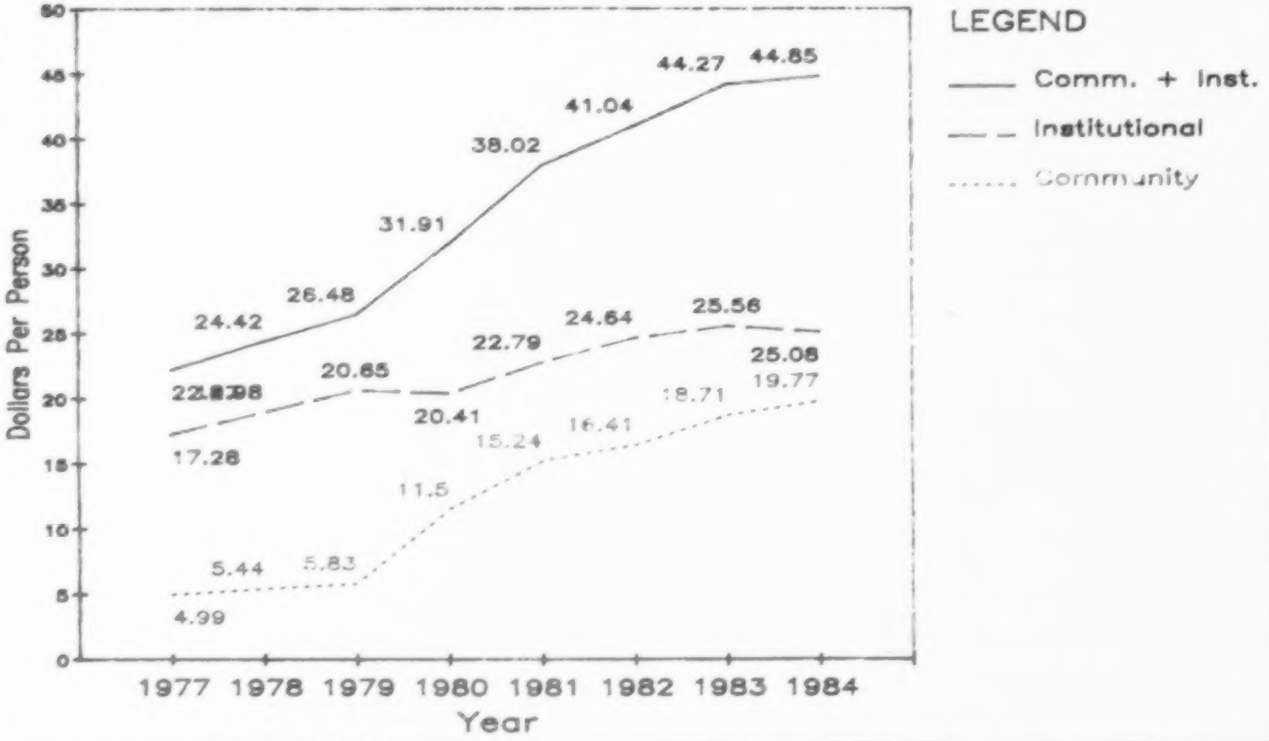


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

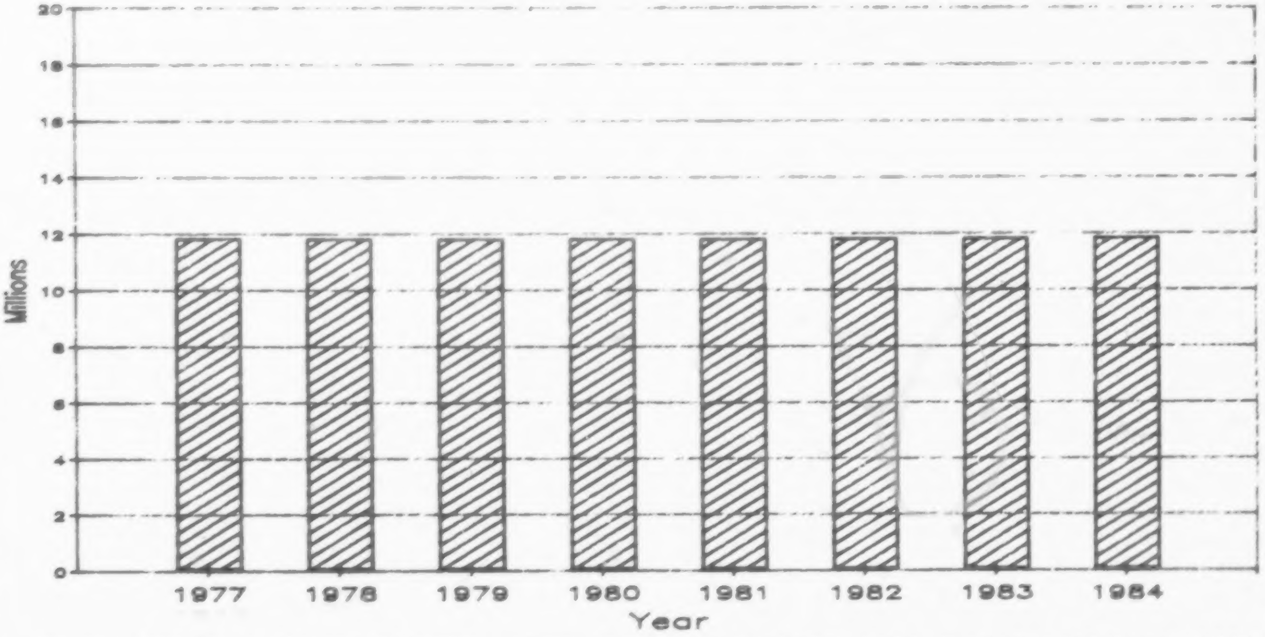


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

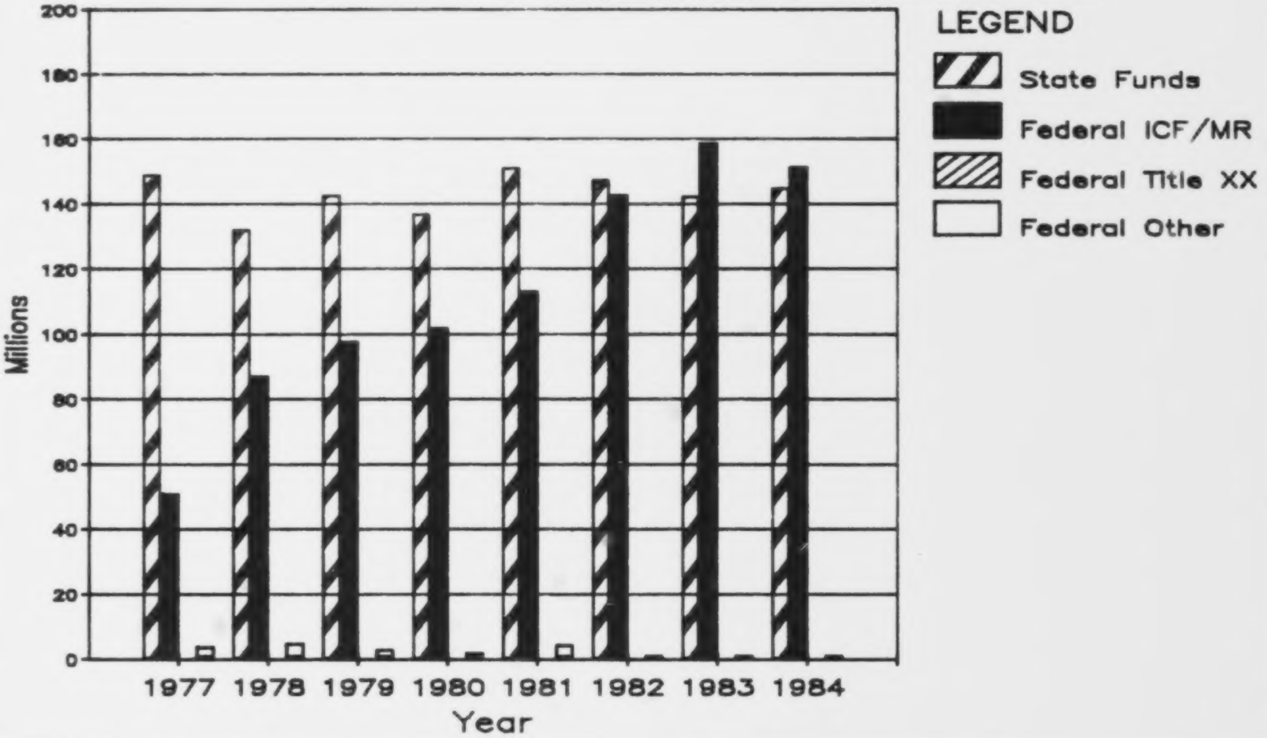


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

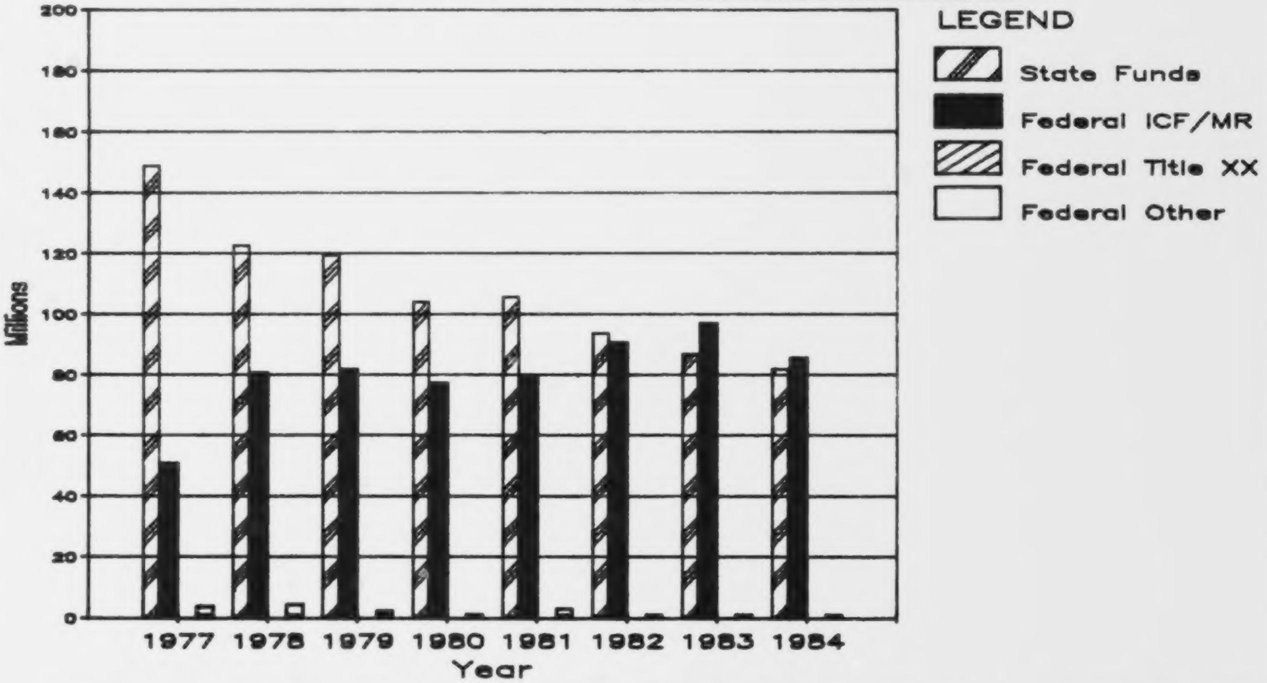
PENNSYLVANIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

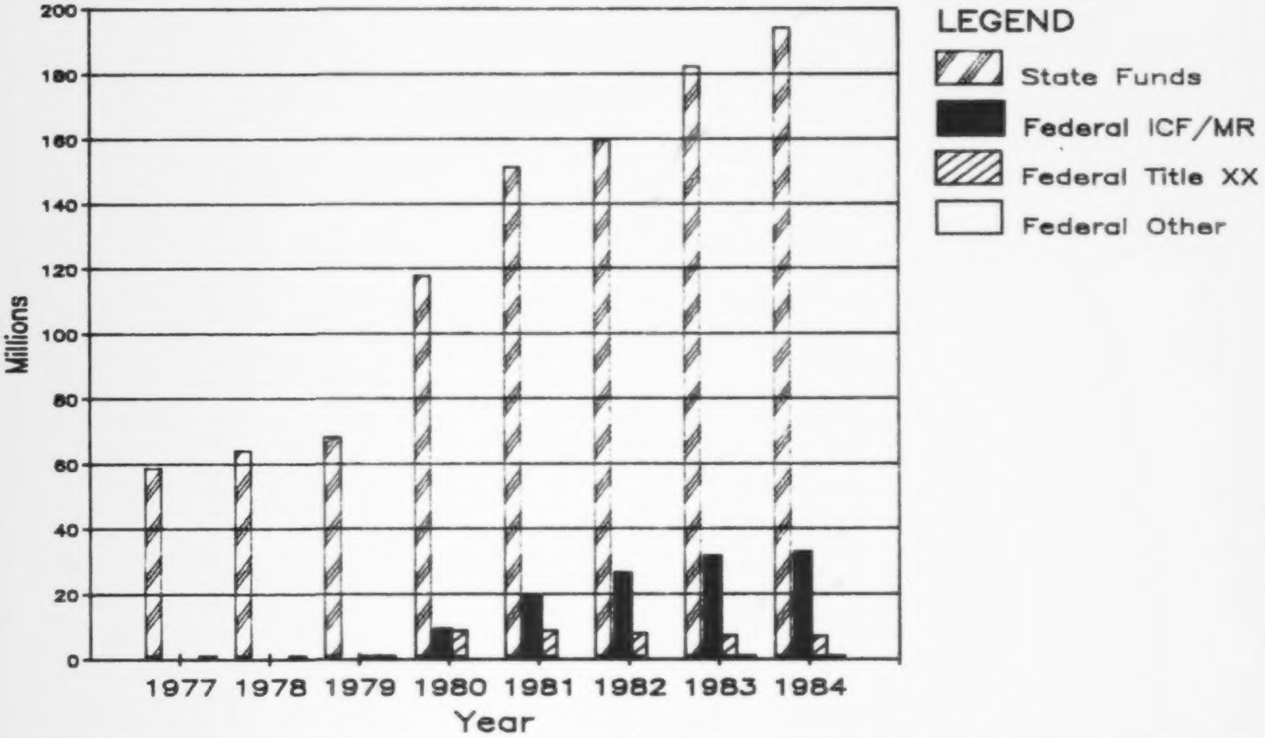


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

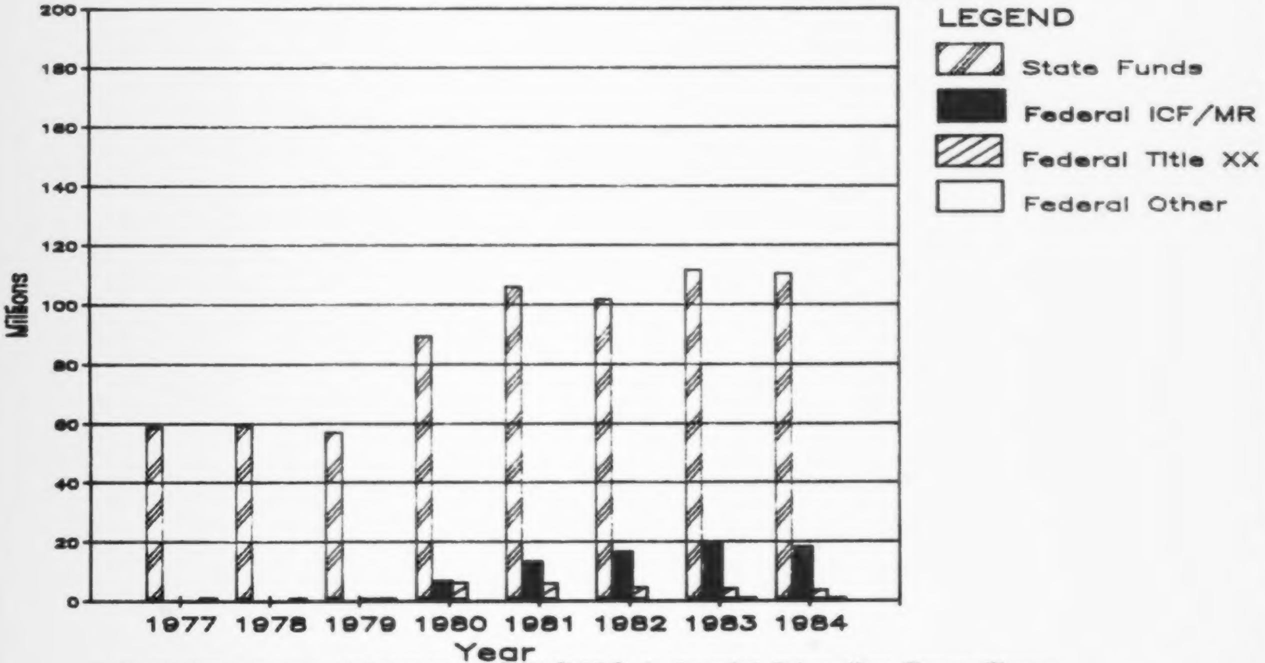
PENNSYLVANIA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



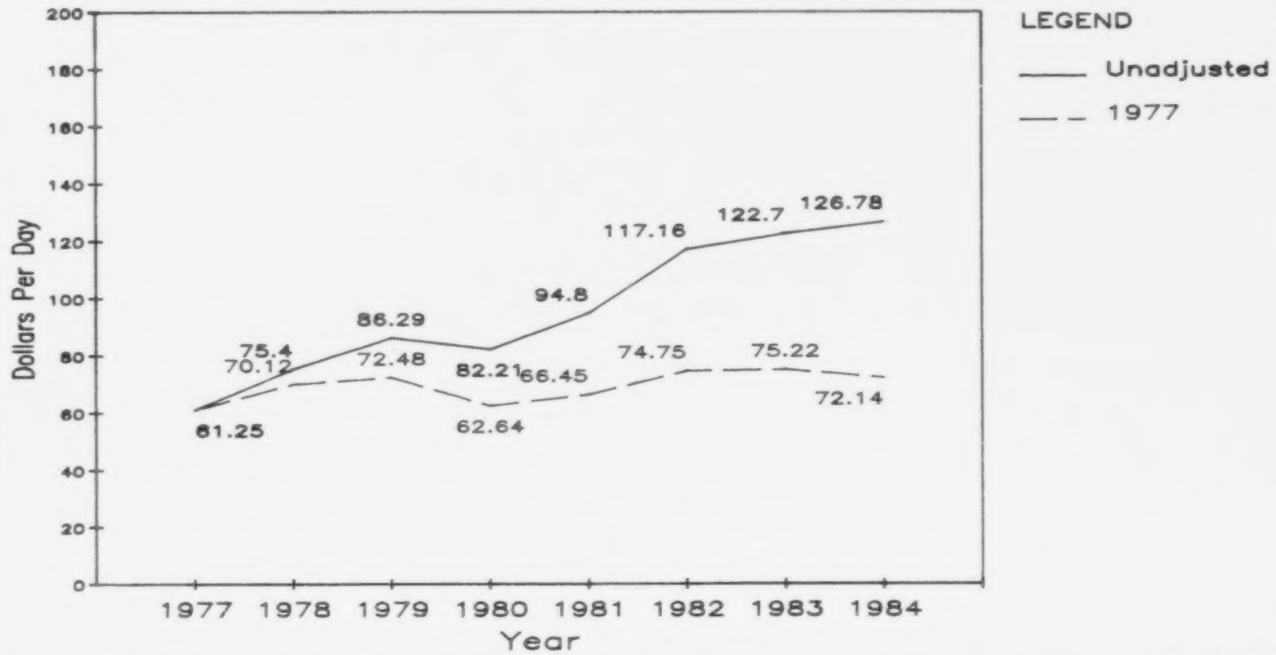
FY 1977–1984, *In 1977 Dollars*



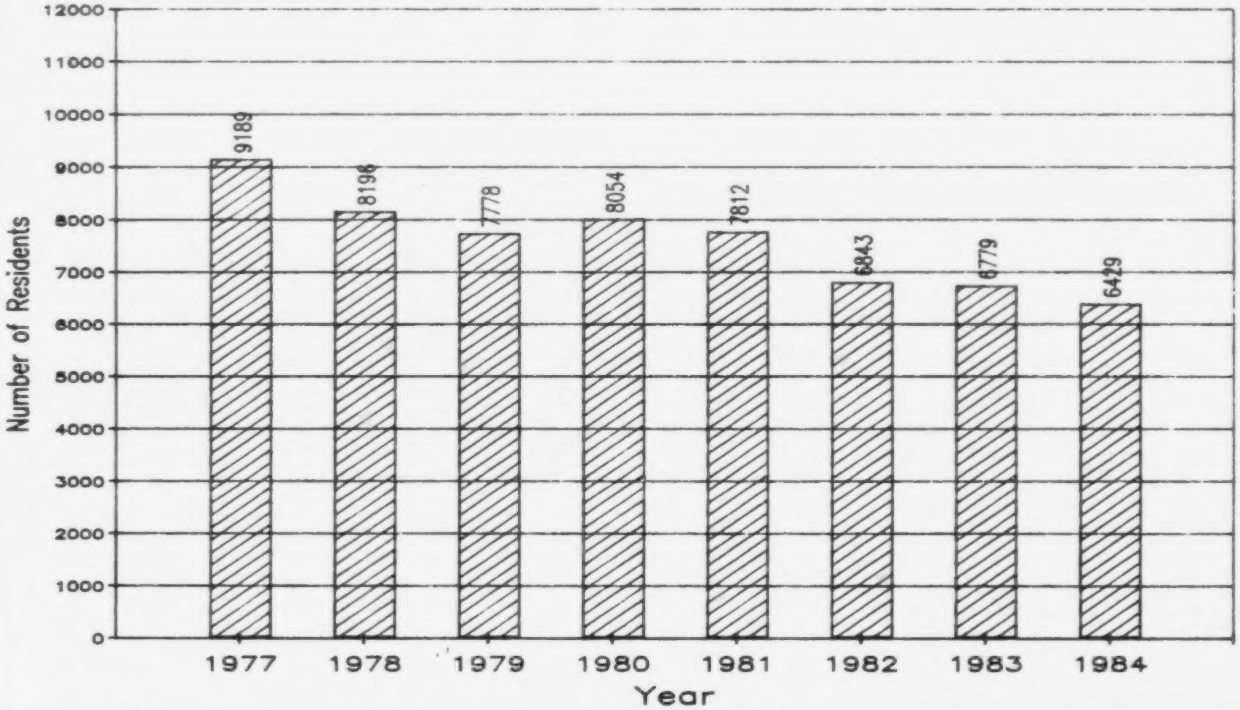
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

PENNSYLVANIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services are administered by the Office of Mental Retardation which is in the Department of Public Welfare (DPW). Leadership of the OMR is provided by a Deputy Secretary.

2. Budget Format: The sections of the Governor's Executive budget that pertain to MR/DD services are formatted as follows:

Department of Public Welfare
  Mental Retardation Services
    State Centers for the Mentally Retarded
      State Funds
      Federal Funds
      Other Funds
    Expenditures by Center
      (each of the 11 centers listed separately with above fund sources)
    Sources of Funds
      Appropriations
      Federal funds
        Detailed listing of funds supplied by each federal program, such as CETA, Title XIX, ESEA, etc.
      Other Funds
        Listing of each source, such as cafeteria reimbursements, sale of reclaimable materials, institutional collections, etc.
    Community Services for the Mentally Retarded
      (same detailed funding breakdowns as under the State Centers)

3. Note on Data Sources: Actual and adjusted expenditure figures for FY `77 - `83 were obtained from the 1979, `80, `82 and `84 Governor's Executive budget documents. 1984 figures are based on actual appropriations.

In keeping with the general definitions of our analysis, central office administrative costs have not been included in the figures. In Pennsylvania, most central office administrative costs in the Department of Public Welfare are in the "General Government Operations" budgetary subdivision.

In addition, capital construction costs have also been excluded in this analysis. The state's capital construction budget is contained within the General State Authority`s (GSA) budget. However, each state agency, including the Office of MR, starting in FY `79, pays SGSA a rent or depreciation payment out of its operating budget to cover its share of interest payments on capital construction loans. These costs are included in the figures in our analysis. Exact figures were provided by Mrs. Pierce, OMR, telephone interview, 2/24/84. Mrs. Pierce reported that the exact payment figures for FY `83 and `84 were not yet available.

Fiscal Year	Depreciation Payments ($ in thousands)
1979	$ 7,075
1980	6,960
1981	10,230
1982	10,764

II. INSTITUTIONAL SERVICES

4. Institutional Services in Pennsylvania are provided in eleven state MR Institutions and seven MR units in state mental hospitals. These are:

Cresson/Altoona
Ebensburg
Hamburg
Laurelton
Pennhurst
Polk
Selinsgrove
Western
White Haven
Embreeville
Woodhaven
Allentown MR Unit
Clarks Summit MR Unit
Mayview MR Unit
Philadelphia MR Unit
Somerset MR Unit
Torrance MR Unit
Wernersville MR Unit

Pennsylvania has closed several institutions in the past few years including Marcy, Cresson & the Harrisburg MR Unit. Pennhurst State School and Hospital, which has been the focus of the country's most publicized DD rights litigation, is also in the process of closing. The aggregated average daily census at these facilities has been as follows:

FY 1977 - 9,189
1978 - 8,196
1979 - 7,778
1980 - 8,054
FY 1981 - 7,812
1982 - 6,843
1983 - 6,779
1984 - 6,429

(Source: Budget Documents.)

5. State General Funds. For FY `84, the Office of MR (OMR) requested the state Legislature to lower or restrict growth of the appropriation for Pennhurst by $5,500,000 in anticipation of moving 260 residents out of the facility. At the same time, OMR requested the Legislature to transfer those savings in state funds to community MR programs rather than elsewhere in the state budget. The Legislature agreed. So, $5,500,000 of state institution funds were moved to the community programs budget and in turn earned or "drew down" federal Title XIX funds under the Medicaid Waiver program (Paul Hindman, Bureau of Planning and Resource Allocation, DPW, telephone interview, 2/27/84). Because of the savings in per diem costs in community settings when compared to Pennhurst, the state expects to be able to place an additional 84 clients now living at home or elsewhere in the community and still expend no "new" state money due to this transfer of funds. (OMR terms the budget transfer the "Medicaid-community transfer.") According to the Deputy Secretary of MR, Dr. Jennifer Howse (telephone, 11/15/83), OMR plans to request a Medicaid community transfer (i.e. Waiver) of $16,500,000 in FY `85 in the same manner as was done for FY `84 funds.

6. Other State Funds are labeled simply "Other Funds" in the Governor's Budget. They represent revenue from such sources as cafeteria reimbursements, and institutional collections (private pay, insurance, etc.).

7. Title XIX. The Federal share of Title XIX, ICF/MR funds are identified under Federal Funds (entitled "Medical Assistance") in the budget document starting in FY `80. Prior to then, MH and MR receipts under "Medical Assistance" are combined. Therefore, for FY 77-79, we used the ICF/MR figures supplied by Pennsylvania on the HCFA Form 20-82 which was submitted to the HCFA/Office of Financial & Actuarial Analysis/Medicaid Statistics Branch. These figures are unadjusted expenditures by date of service. The FY `77 figure on HCFA Form 20-82 was $60,737,000, but total federal funds reported in the Governor's Budget for that year were only $55,699. Therefore, in `77, an average amount was subtracted for other federal programs (see Note 5) and the remaining amount of federal funds was designated Title XIX for the purposes of our analysis.

8. Other Federal Funds are the remainder of the amount recorded in the Budget document under "Federal Funds" after the ICF/MR amount is subtracted. These funds represent small federal programs including Chapter I ESEA, Child Nutrition, and Library Service.

III. COMMUNITY SERVICES

9. Community Services are reflected in the "Community Services for the Mentally Retarded" section of the State Budget.

   In FY `77-79, community services for MR and MI clients are combined into one figure in the Budget. To estimate what portion was for MR clients only, the percentage that MR Community Services comprised of the total MR and MI community services in later years when they were reported separately, was calculated. In 1980, MR was 63%; in `81 MR was 66%. The average of these percentages (64.5%) was applied to total MR & MI community expenditures for FY `77-`79. Dr. Howse, Deputy Secretary for MR, (telephone, 11/15/83) indicated this method produced a reasonable representation of estimated community services expenditures.

10. Other State Funds include small sums for the "PASS Program--tuition and book fees"; and in FY `82, a much larger sum ($74,000) which was labeled as "Elwyn Institute--Collections."

11. Title XIX. According to Dr. David Smith, Director, DPW Office of Program and Policy Development (telephone interview, 8/24/83), there are no state-run community-based ICF/MRs--only privately-run facilities. (There are now two county-run ICF/MRs, but the expenditures for these are combined with the expenditures for the private facilities.) Private ICF/MR reimbursements are recorded in the OMR budget for community services. Dr. Smith reported that the private ICF/MRs began in FY '78, at which time they were reimbursed directly by the State Medicaid Agency as general nursing homes (not ICF/MRs). In FY `82, these facilities were transferred to the Office for MR budget and at that time an estimate was made of the expenditures for the two previous years (FY `80 and `81), and recorded in the Budget. Expenditures are presented in our analysis for private ICF/MRs for FY `80-`84. FY `78 and `79 data are absent because Pennsylvania`s private ICF/MR expenditures were combined in those years with all General ICF expenditures. The sums involved in FY `78 and `79 were probably less than $15,000,000 per year, according to Dr. Smith.

    A Medicaid Waiver for $6,916,085 ($2,877,980 state share) has been approved; but only $1,848,000 of the federal share was appropriated for FY `84. A rebudget was being prepared at the time of our analysis.

    A second Waiver was approved in January, 1984. In addition, there are four other Medicaid Waivers pending Federal Government approval and three more in the process of being written by the Office of MR (Dr. Smith, telephone, 8/24/83; and Mr. Knowlton, OMR, telephone, 2/24/84)/

12. Title XX expenditures for FY 1979 are an estimate (see Note 9), based on the share that MR expenditures comprised of the total community expenditures (64.5%). That same percentage was applied to the total (MR and MI combined) Title XX expenditures for FY `79. FY `80-`84 figures are taken from the Budget documents. In FY `82, when Title XX was replaced by the Social Services Block Grant, although MR services continued to get a share of these funds, the amount begins declining each year. There were no Title XX funds expended for community services FY `77 -`78 (Dr. Howse, telephone interview, 11/15/83).

13. Other Federal Funds in FY `77-`79 are DDSA funds, which, after FY `79 are moved elsewhere in the Budget. In FY `83 & `84, the funds recorded in this line are labeled "mainstreaming demonstration grant" in the State Budget.

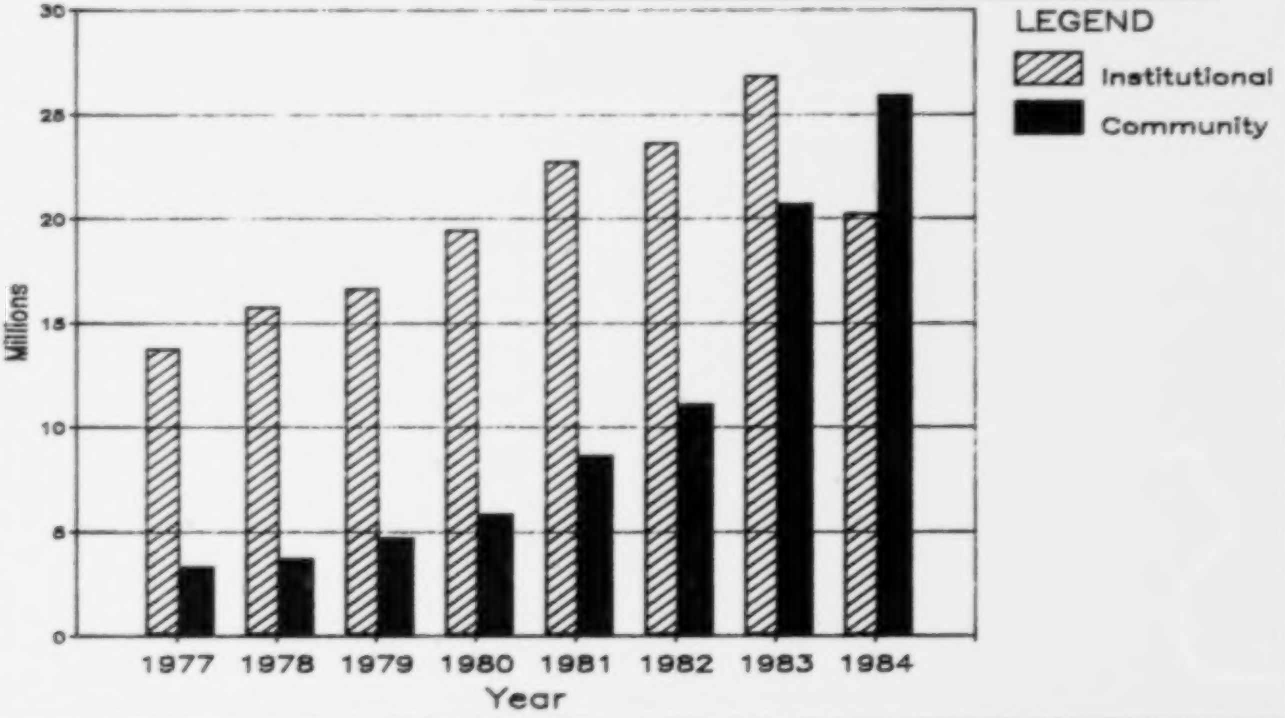
14. Private ICF/MR expenditures have been recorded in the Office of MR Budget as part of "Community Services" since FY `82. Expenditures for FY `78 and `79 are unavailable (see Note 11 above). In those years, Pennsylvania budgeted for private ICF/MR reimbursements in combination with General ICF funding. Less than $15,000,000 per year was probably spent, however, based on the trend-line exhibited by FY 1980-84 private ICF/MR expenditures. There was no private ICF/MR program in FY 1977.

RHODE ISLAND
STATE PROFILE

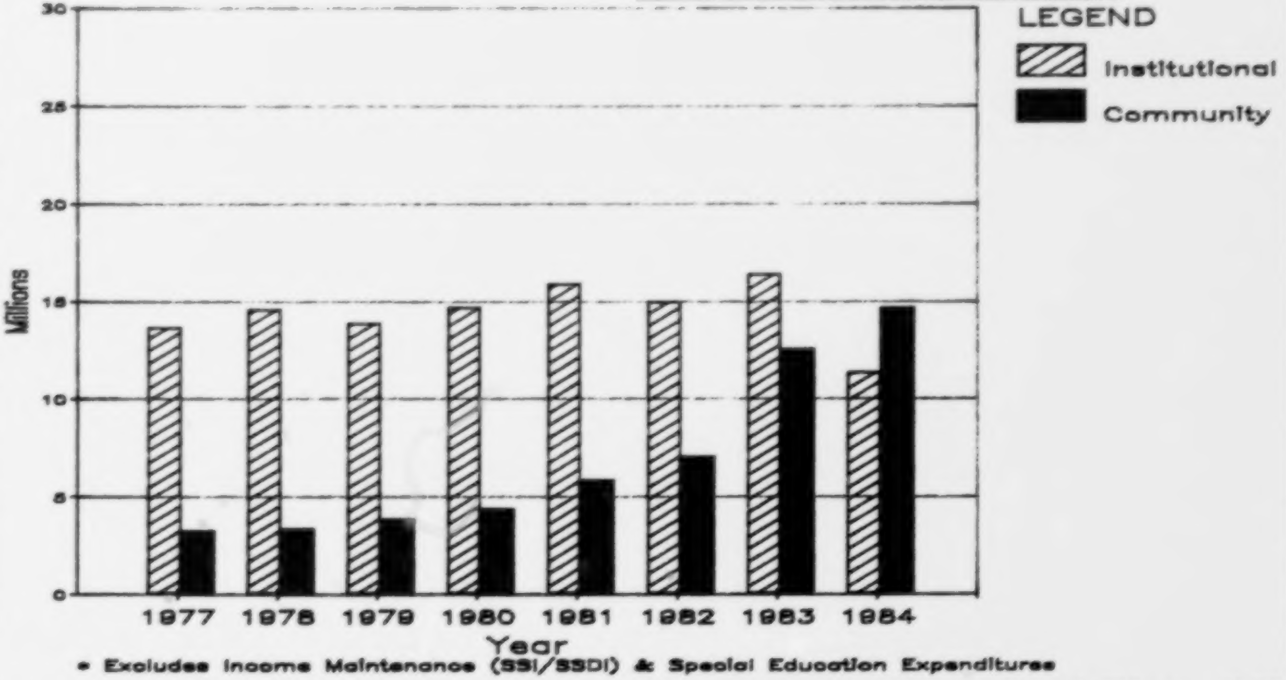
RHODE ISLAND

Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

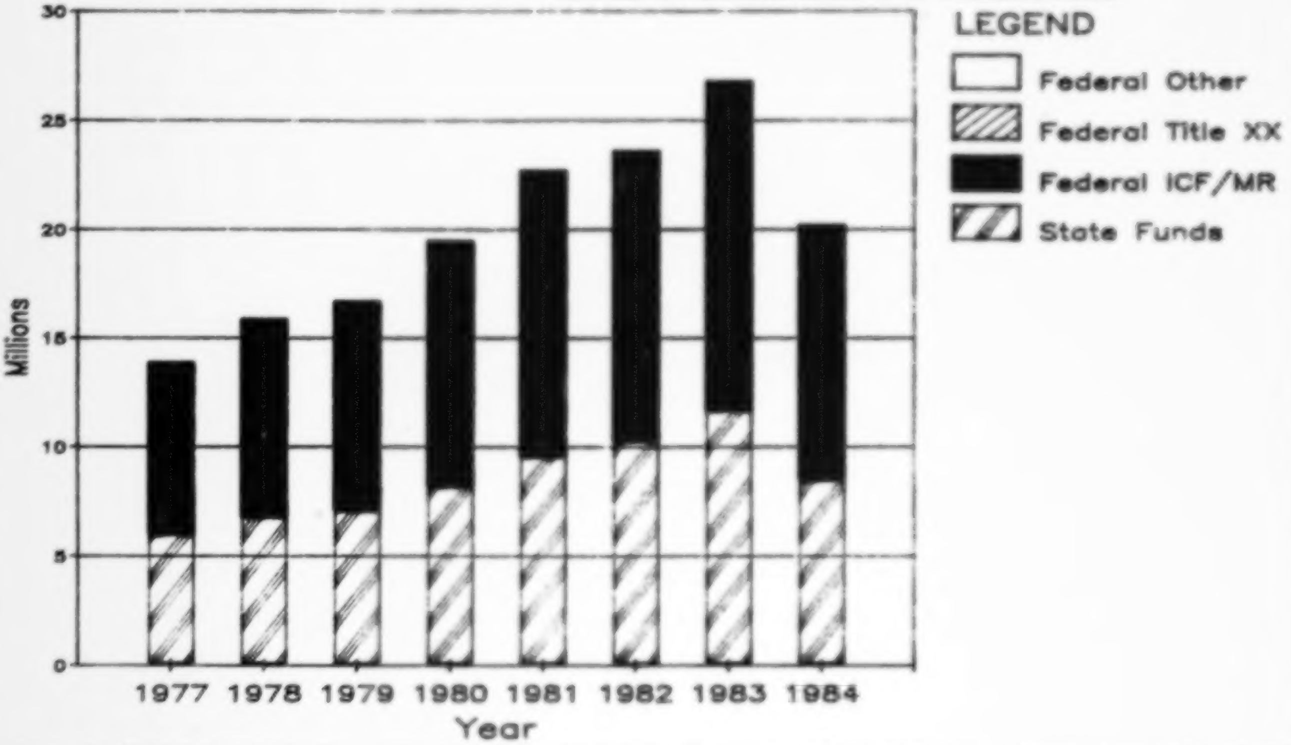


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

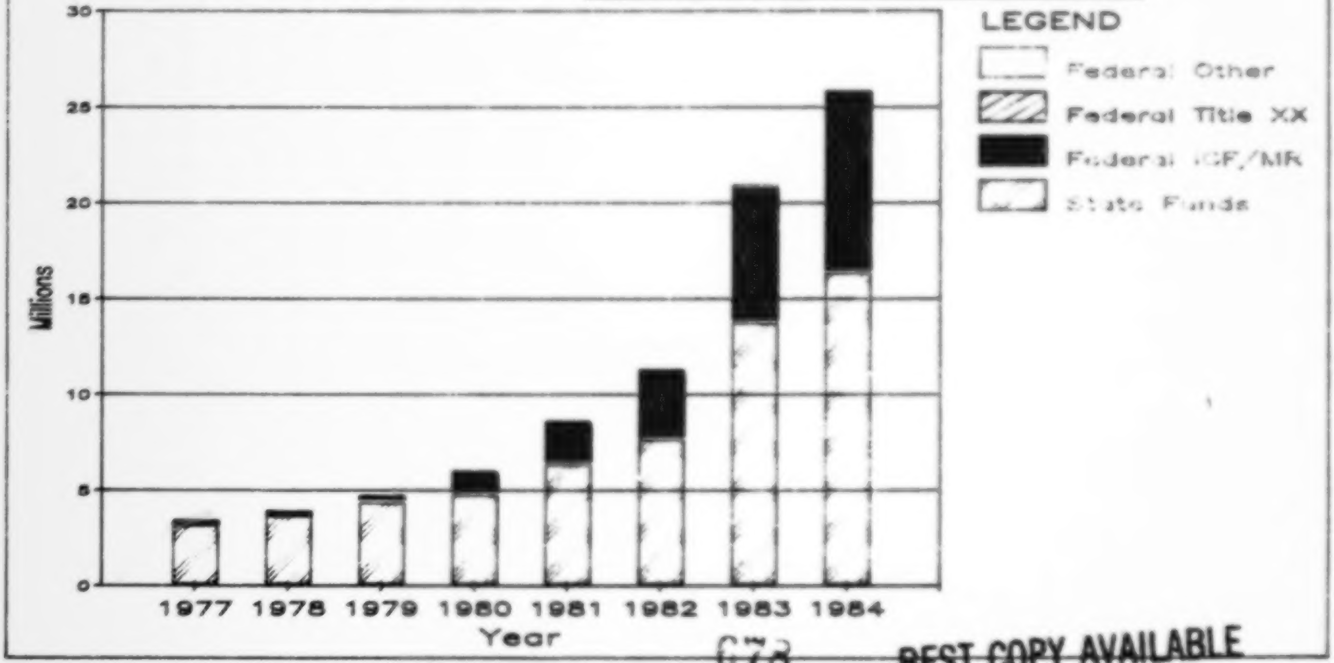
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



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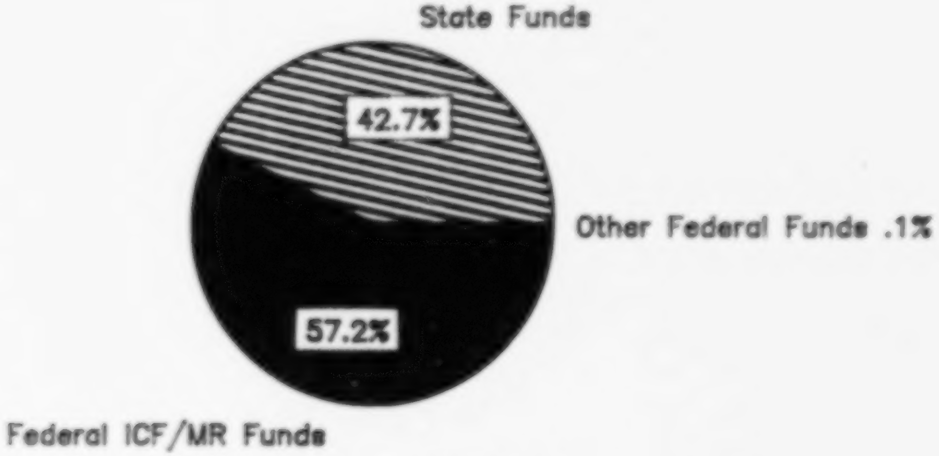
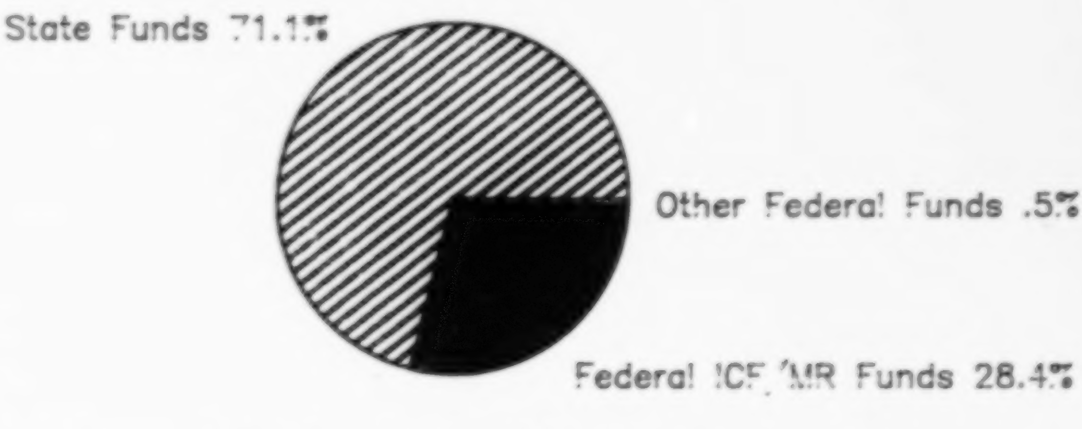
RHODE ISLAND
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional: $160 Million

Community Services Funds

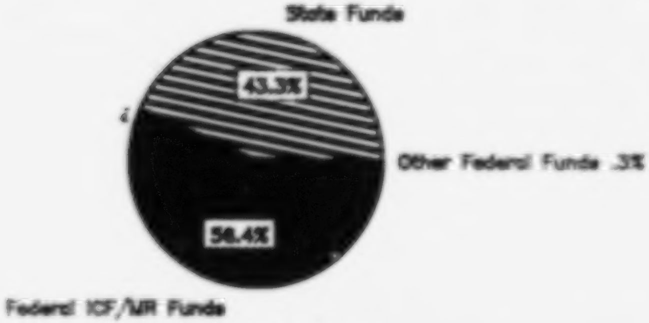
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



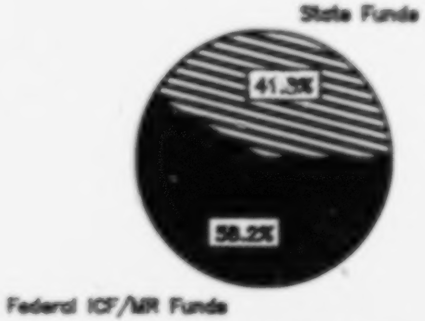
Total Community: $85 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

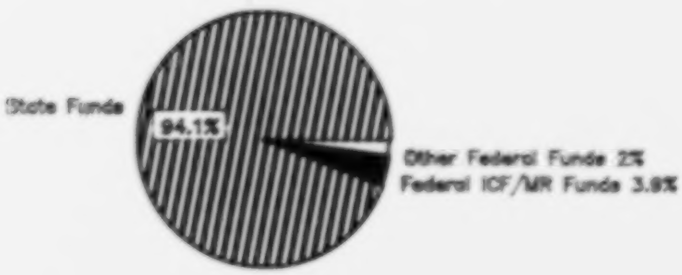
RHODE ISLAND
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



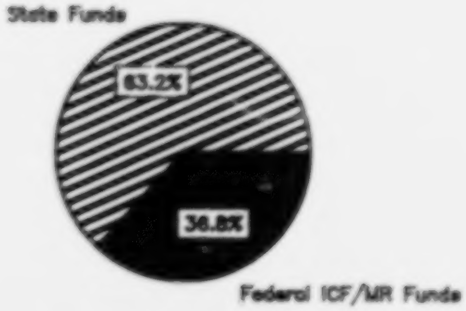
Institutional 1977: $14 Million



Institutional 1984: $20 Million



Community 1977: $3.4 Million

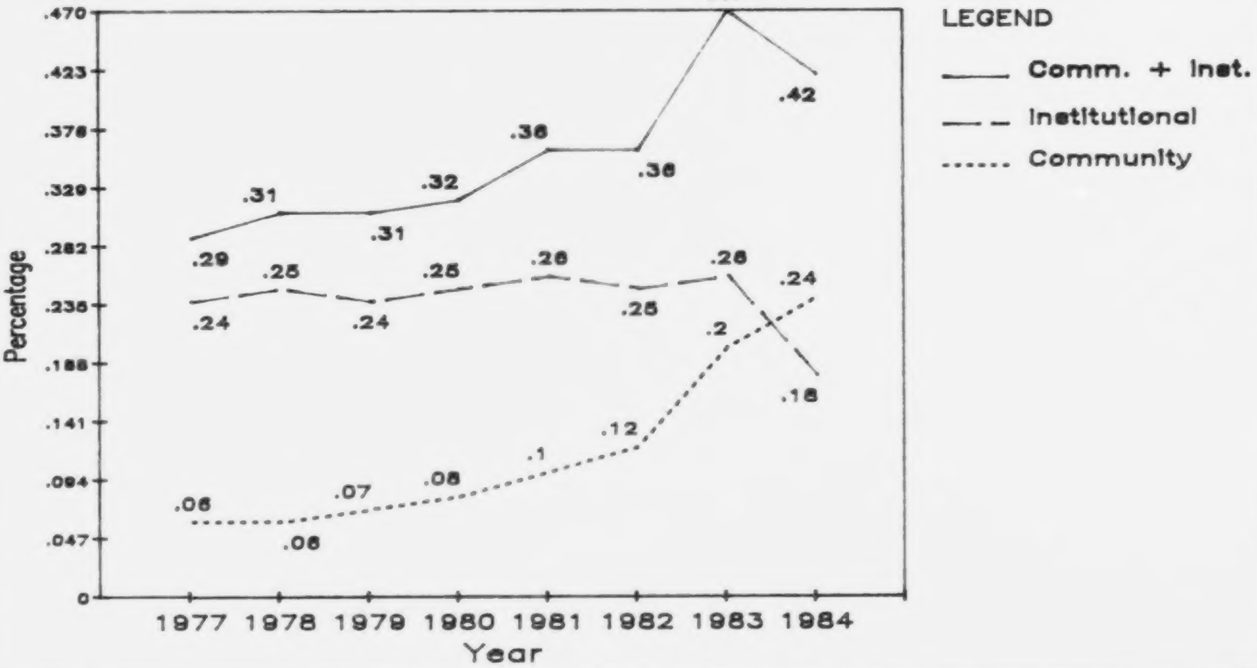


Community 1984: $26 Million

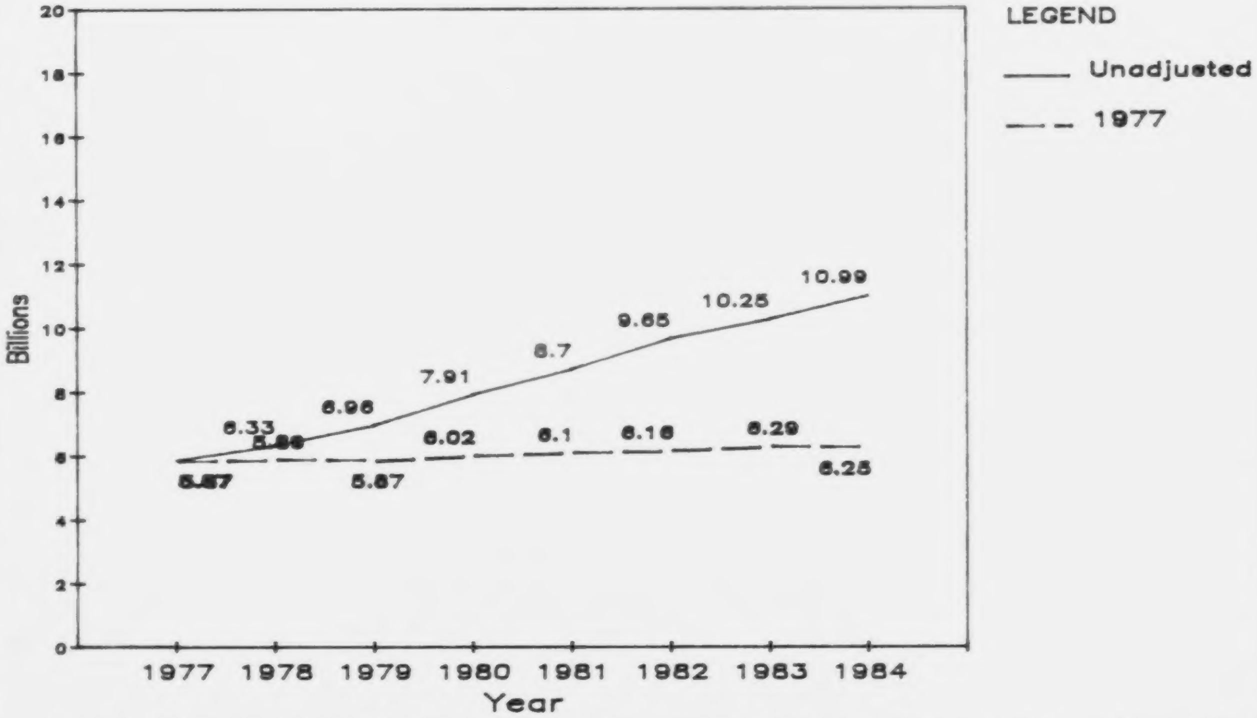
*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

RHODE ISLAND

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



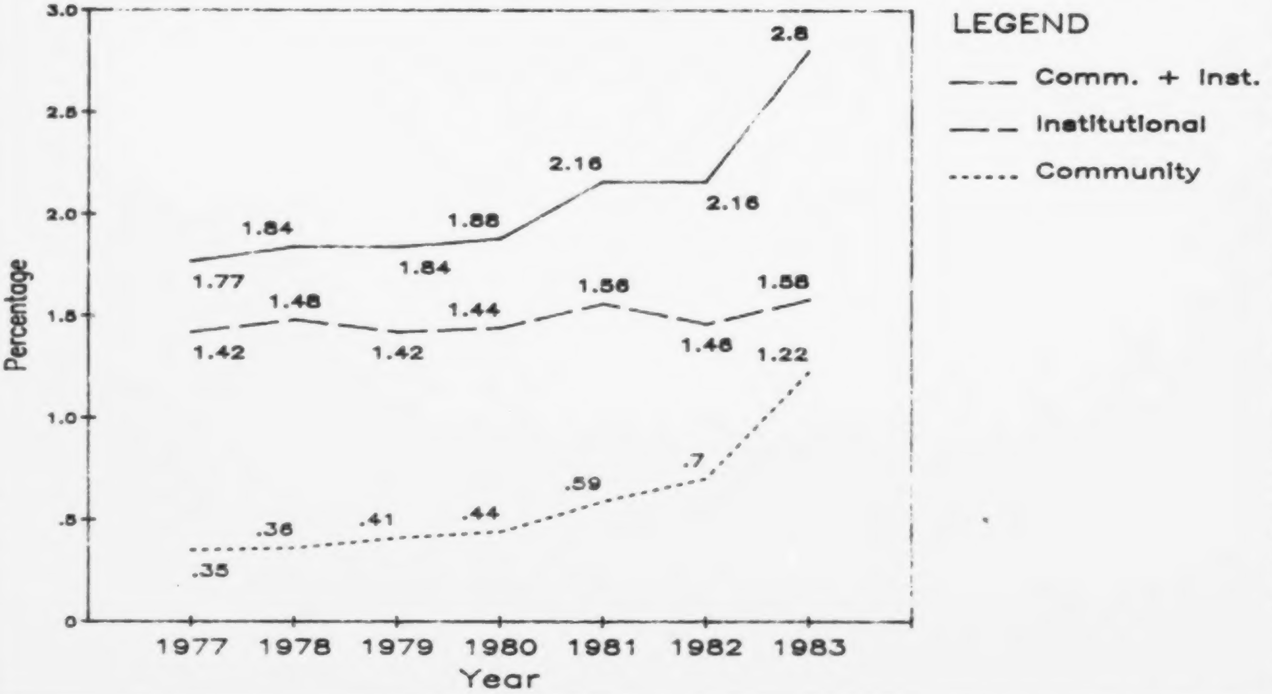
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



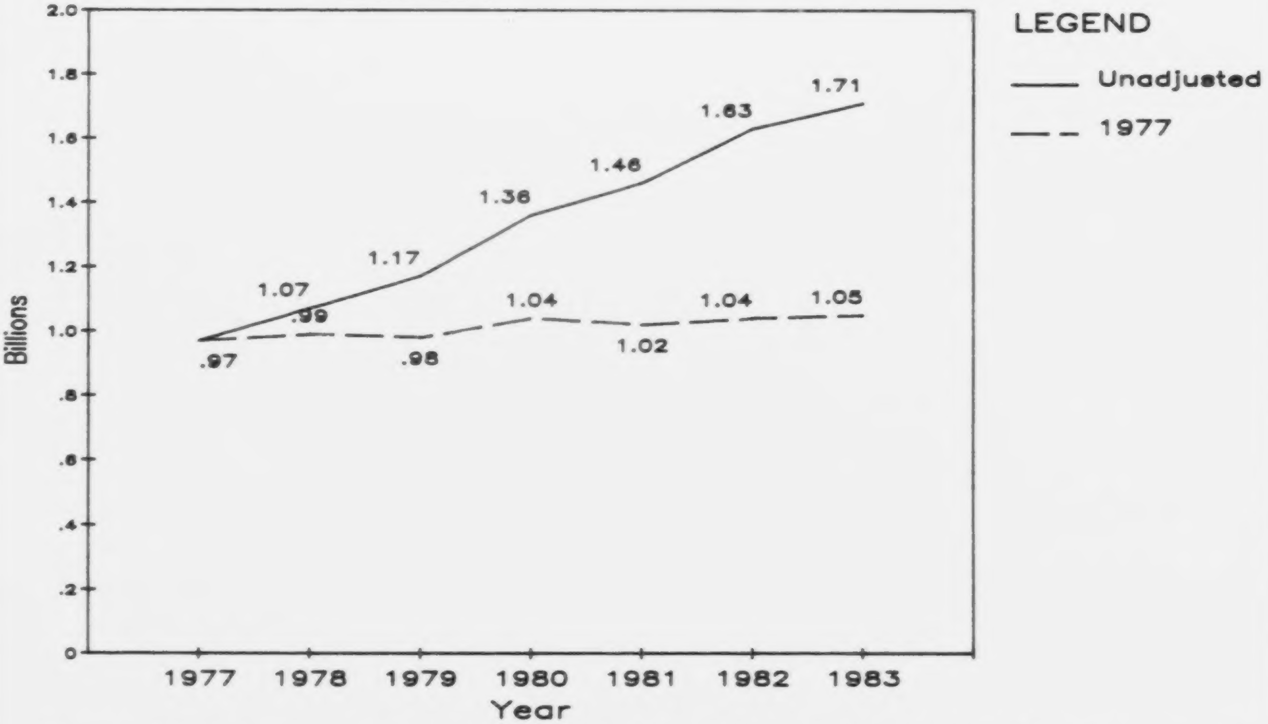
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND

Relative Growth of MR/DD Expenditures for ***Institutional*** & ***Community*** Services as a Percentage of the Total State Budget: FY 1977–1983



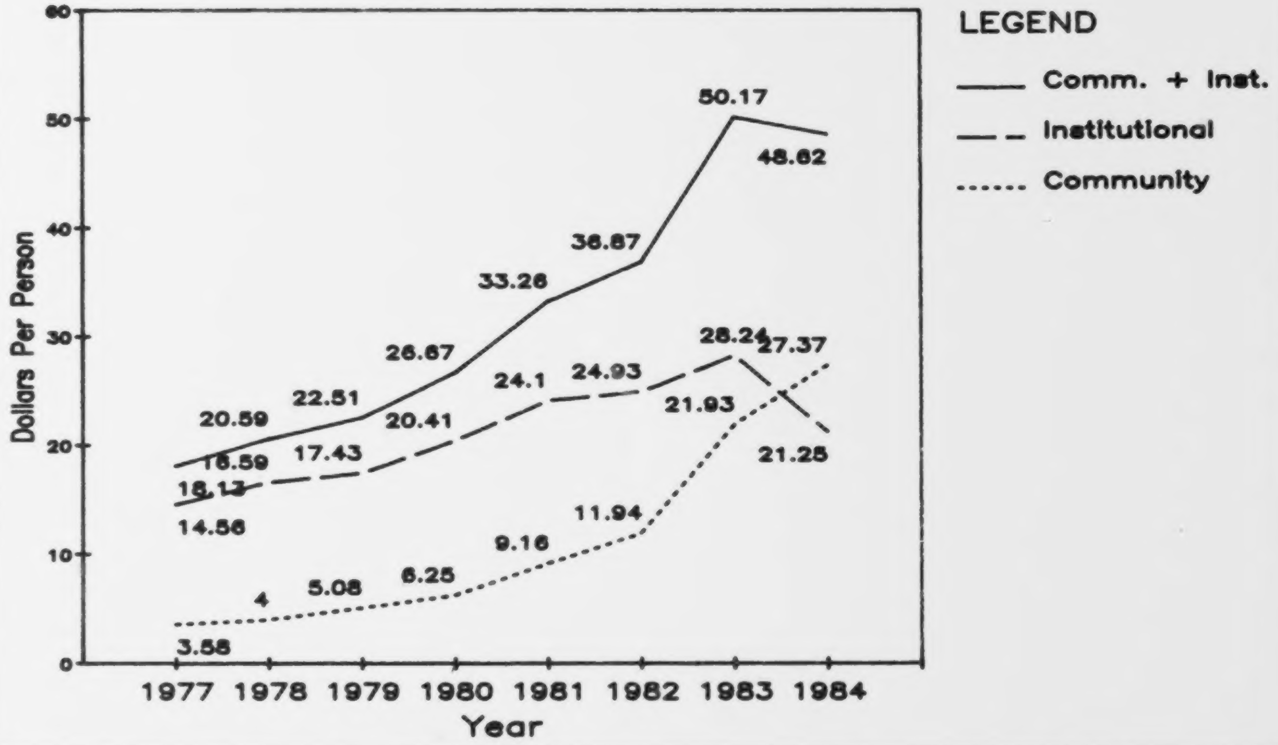
The Total State Budget Expressed in ***Unadjusted*** and ***1977*** Dollars: FY 1977–1983



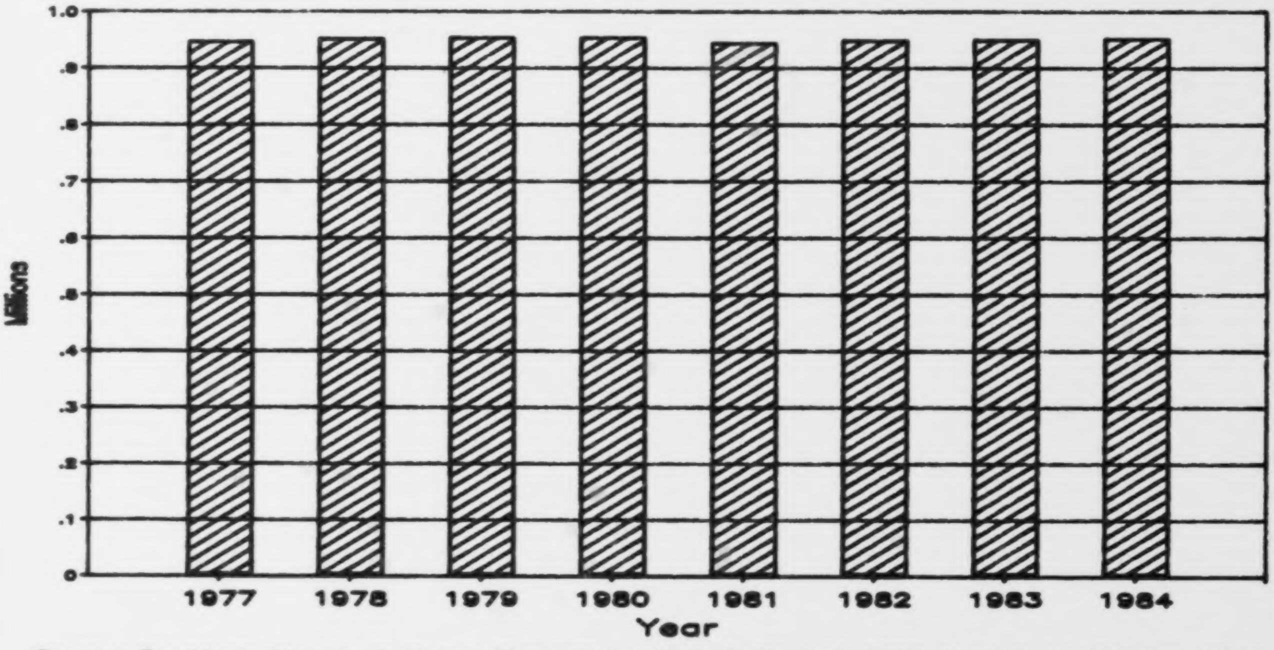
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

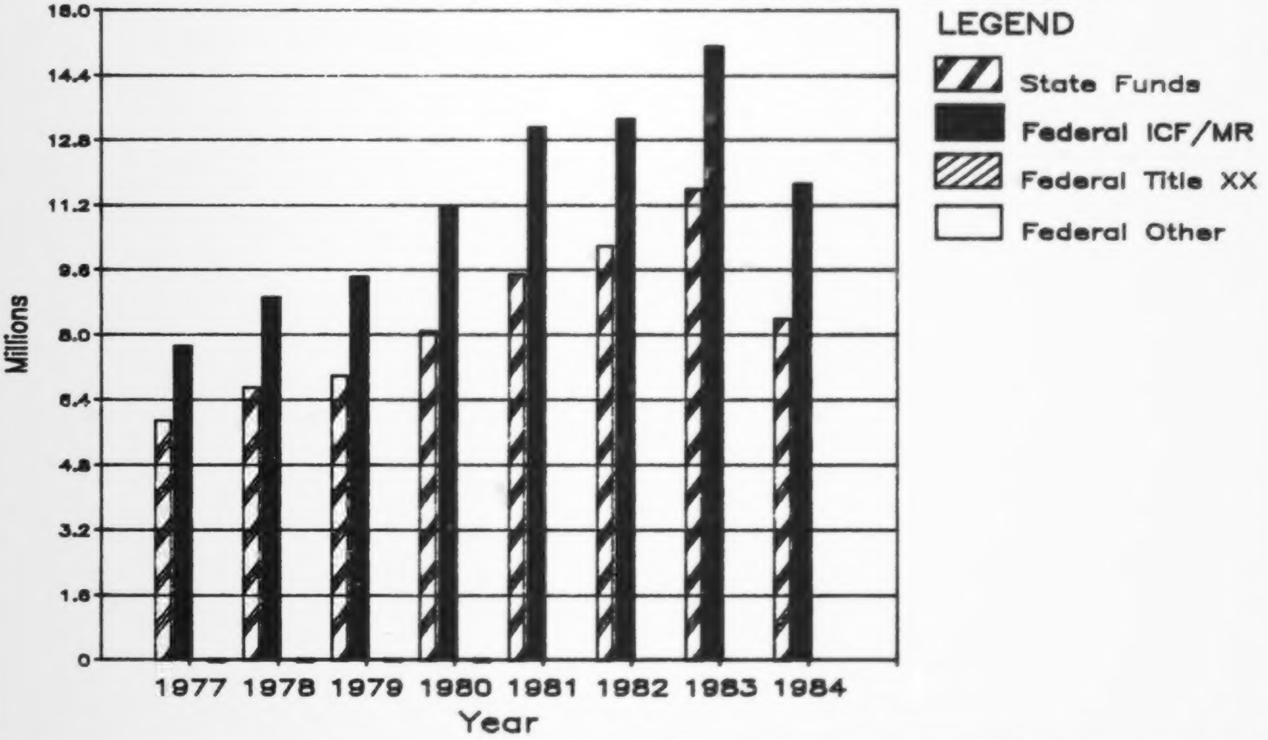


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

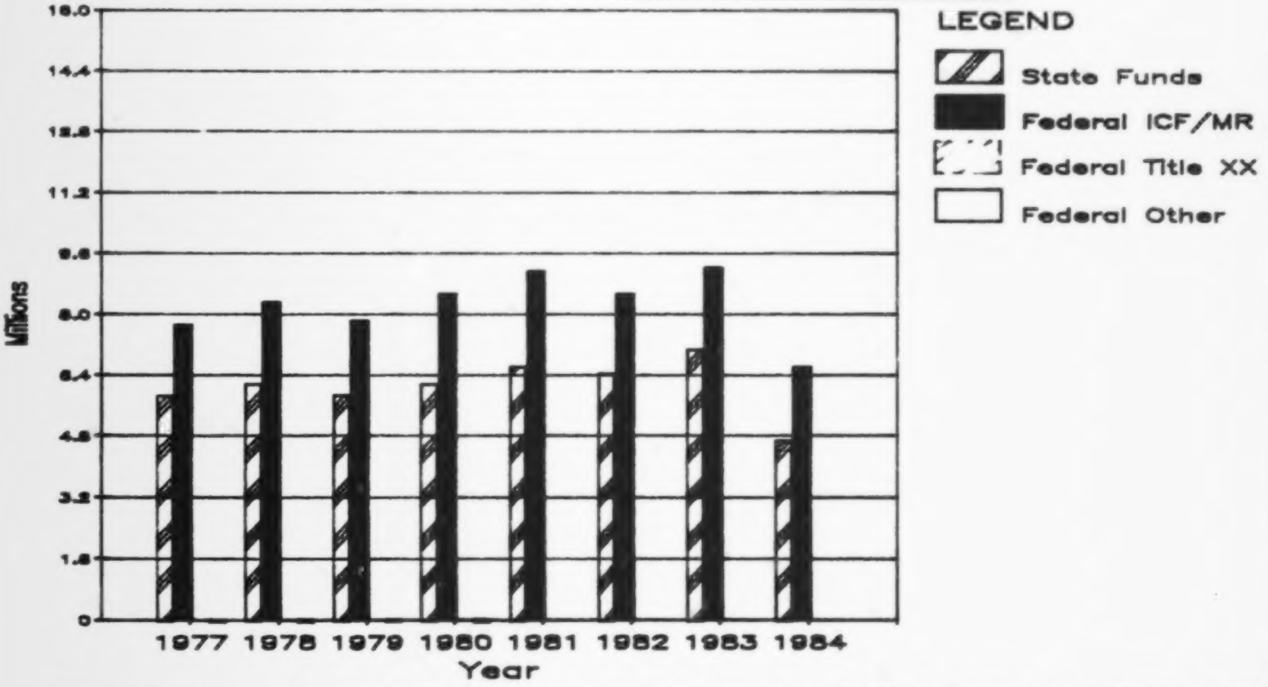
RHODE ISLAND

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



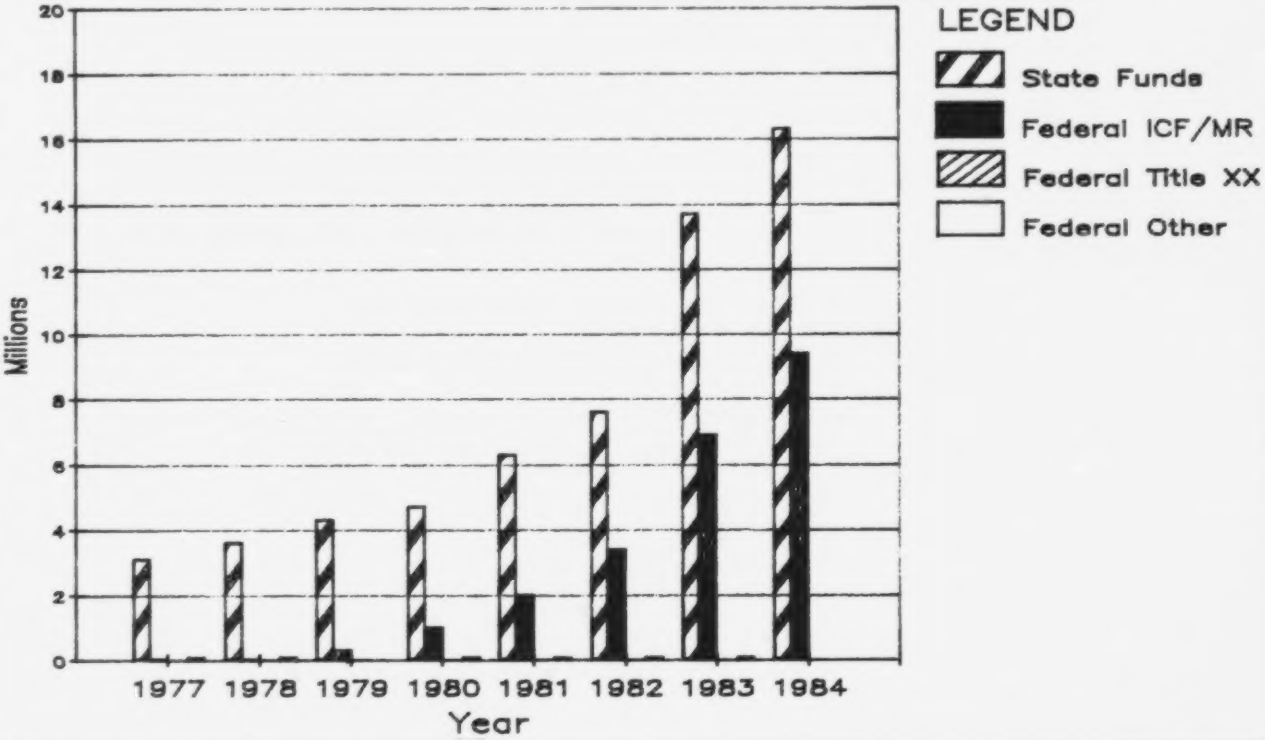
FY 1977–1984, *In 1977 Dollars*



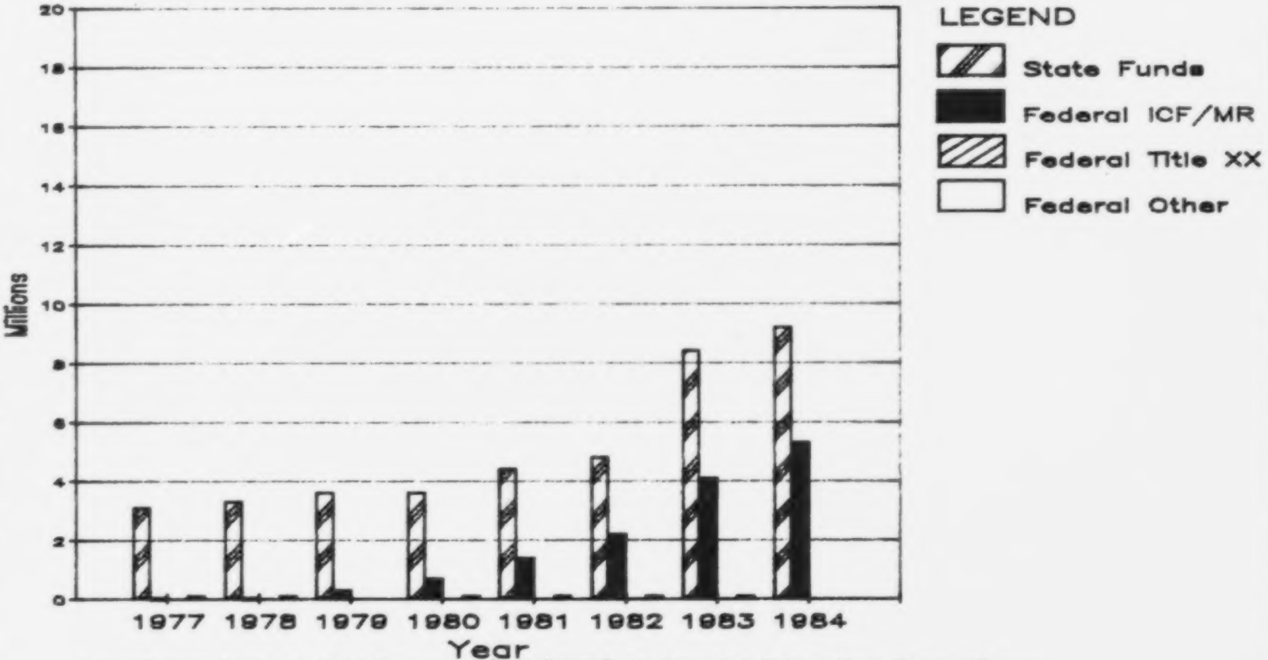
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



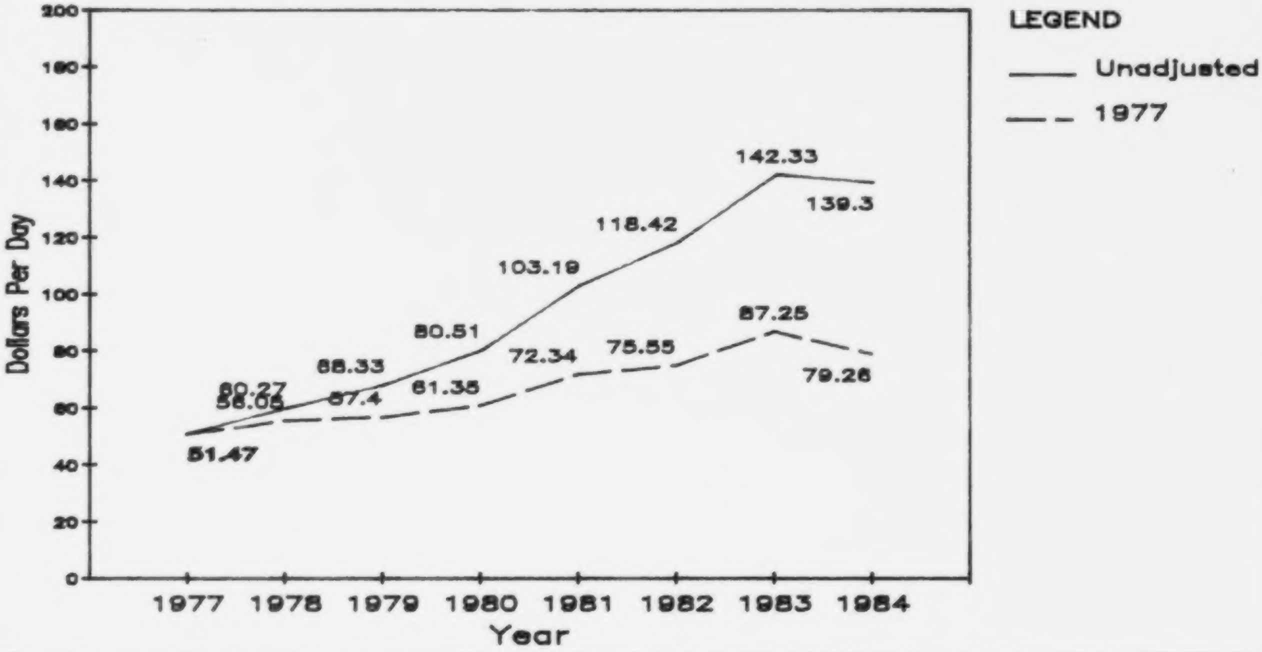
FY 1977–1984, *In 1977 Dollars*



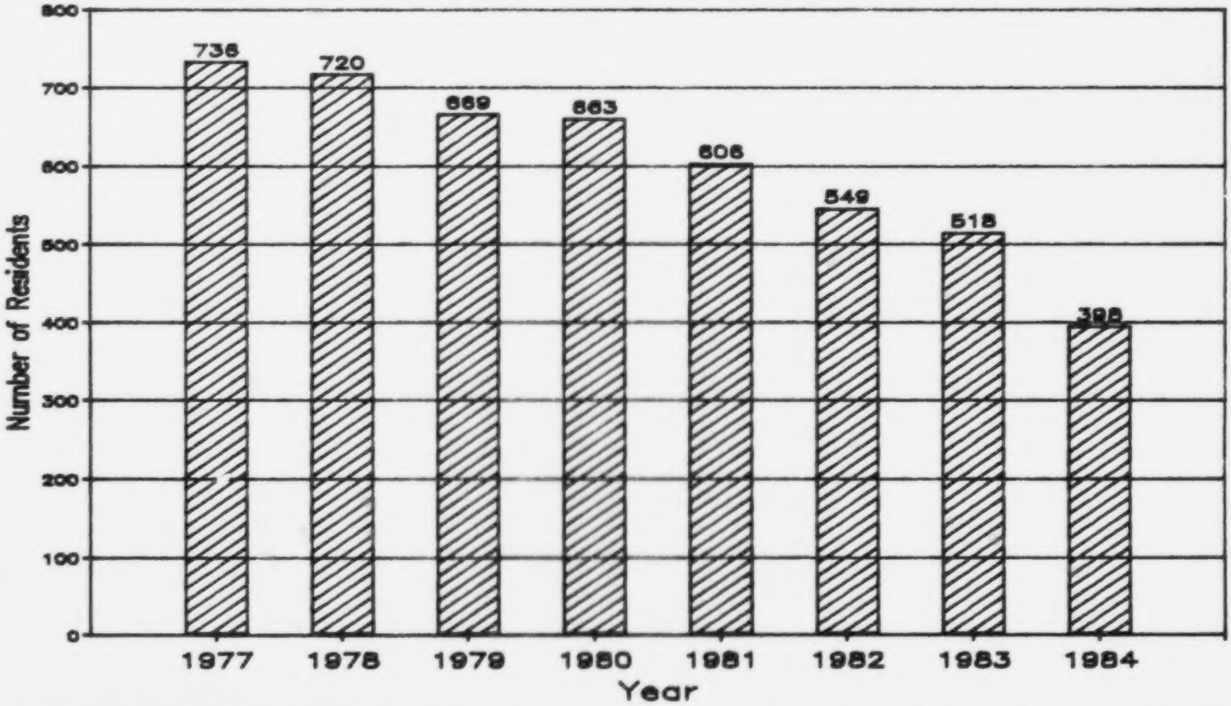
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

RHODE ISLAND

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: In Rhode Island, the Division of Mental Retardation is within the Department of Mental Health, Mental Retardation, and Hospitals. Within the Division of MR, there is: a) The "Office of Assistant Director" which includes administration and the expenditures for some community programs, such as early intervention and respite care; b) The "Community Services Program," which includes residential and social/developmental services; and c) the "Ladd Center Programs." The Ladd Center is the only state MR institution. In the last eight years, the population at Ladd has decreased from 800 to 400, and the number of community residences has grown from 5 to 100. According to the Assistant Director of the Division, the state is also transferring employees from the institution to the community settings.

2. Budget Format: The sections of the budget pertaining to MR were formatted as follows:

   Department of Mental Health, Retardation and Hospitals
   - Division of Mental Retardation
     - Office of Assistant Director
       - Program Data (positions, clients served, etc.)
       - Financing
         - State Funds
           - Balance Forward
           - Appropriations
         - Federal Grants
       - Expenditures by Object (personal services, operating expenses, debt service, etc.)
     - Residential Services
       - (same subdivisions as under Office of Assistant Director)
     - Dr. Joseph H. Ladd School
       - (same subdivisions as above)
     - Social and Developmental Services
       - (same subdivisions as above)

   Starting in the FY `82 state budget, a new program, "Community Services Program," was added. In FY `83, the "Residential Services" and "Social and Developmental Services" programs was consolidated under the Community Services Program. Title XIX reimbursements for Community Services was shown under "Financing" as:

   Interdepartmental Transfer
   - State Funds
   - Federal Funds

   Title XIX was shown as a non-add figure in this way because the expenditures actually occur in the Department of Social and Rehabilitation Services which is the single state agency for the administration of Title XIX.

3. Note on Data Sources: Actual expenditure figures were obtained from the 1980, 1982, and 1984 State Budget documents. The 1984 appropriation figures were obtained from Paul Deblois, Fiscal Office, Division of MR (telephone interview, 9/14/83).

II. INSTITUTIONAL SERVICES

4. Institutional Services includes the Ladd Center budget minus the community program line. Dr. Robert Carl, Associate Director, Division of MR (telephone interview, 8/18/83) agreed that this community program line should be included under the Community Services component of our analysis. The community program line under the Ladd Center supports 14 state-run small community based ICF/MRs and a number of off-campus day programs for both Ladd Center and community residents. The Multi-Handicapped Unit line in the Ladd budget, however, which is an 80 bed state-run ICF/MR at a different location from the Ladd Center, is included under Institutional Services in this analysis a decision concurred in by Dr. Carl. The average daily population at Ladd has been:

1977 - 736
1978 - 720
1979 - 669
1980 - 663
1981 - 606
1982 - 549
1983 - 518
1984 - 398

5. State General Funds were determined by netting-out federal-share ICF/MR expenditures from sums of money appropriated for the Ladd Center and for the Multi-Handicapped Unit for FY 1982-84 as "State General Funds." See Note 6.

6. Title XIX gross funding levels at the Ladd Center were obtained from Anthony Barille, Assistant Director for Medical Services, Department of Social Rehabilitation Services (SRS), (telephone interview, 9/26/83). According to Barille, the funds he provided are actual payments including retroactive adjustments. The figures provided were the actual federal payment to the State for each year. The following federal share matching rates were used to determine federal and state portions of the gross amounts provided by Barille:

1977 - 56.55%
1978 - 57.00
1979 - 57.00
1980 - 57.81
1981 - 57.81%
1982 - 56.60
1983 - 56.60
1984 - 58.17

The rates for 1982 and 1983 were adjusted per instructions from Barille. He recommended calculating only 98% of the rate published by HCFA to account for reimbursement reductions legislated under the Federal Government's Omnibus Budget Reconcilliation Act of 1981.

7. Other Federal Funds are labeled "federal grants" in the state budget.

III. COMMUNITY SERVICES

8. Community Services consist of: 1) the Community Program line from the Ladd Center; 2) "Residential Services" and "Social and Developmental Services" lines, which appear in the Budget from `77-`82 only. In 1983 they were combined into the "Community Services Program"; 3) the "Community Services Program," which first appears in the budget in `79, and 4) a portion of the "Office of Assistant Director" budget line which was used for respite care and coordinating early intervention services, and training through placement, according to Paul Deblois, Office of the Fiscal Administrator, Division of MR (telephone, 8/24/83).

The Community Program line under the Ladd Center pays for day programs, group homes and ICF/MR-approved clusters of apartments in Section 8 housing. The following state and federal components of Title XIX funding for these programs are included in the analysis ($ in thousands).

	Total	Federal Share	State Share
1981	$ 339	$ 196	$ 143
1982	1,315	744	571
1983	4,308	2,438	1,870
1984	6,418	3,733	2,685

The 1984 appropriated figure was provided by Paul Deblois (telephone, 9/14/83). All other figures were provided by Anthony Barille (telephone, 8/26/83).

9. State General Funds The following amounts of "debt services" (which cover repaying of capital bond funds and interest) are included in the State General Fund component of our analysis ($'s in thousands).

1977 - $748
1978 - 728
1979 - 708
1980 - 668
1981 - $668
1982 - 647
1983 - 627
1984 - 1,132

Also included in our State General Fund component are the following program funds, transferred from the Office of Assistant Director, as explained in Note 8.

FY	$ in thousands
1977	$ 181
1978	330
1979	559
1980	684
1981	914
1982	971
1983	667
1984	671

10. Title XIX The federal share of Title XIX funds that appear in this line represent the community program line that was transferred from the Ladd Center budget, as explained in Note 8. According to Dr. Carl, a Medicaid Waiver has been approved and expenditures will first appear in the FY 1985 budget.

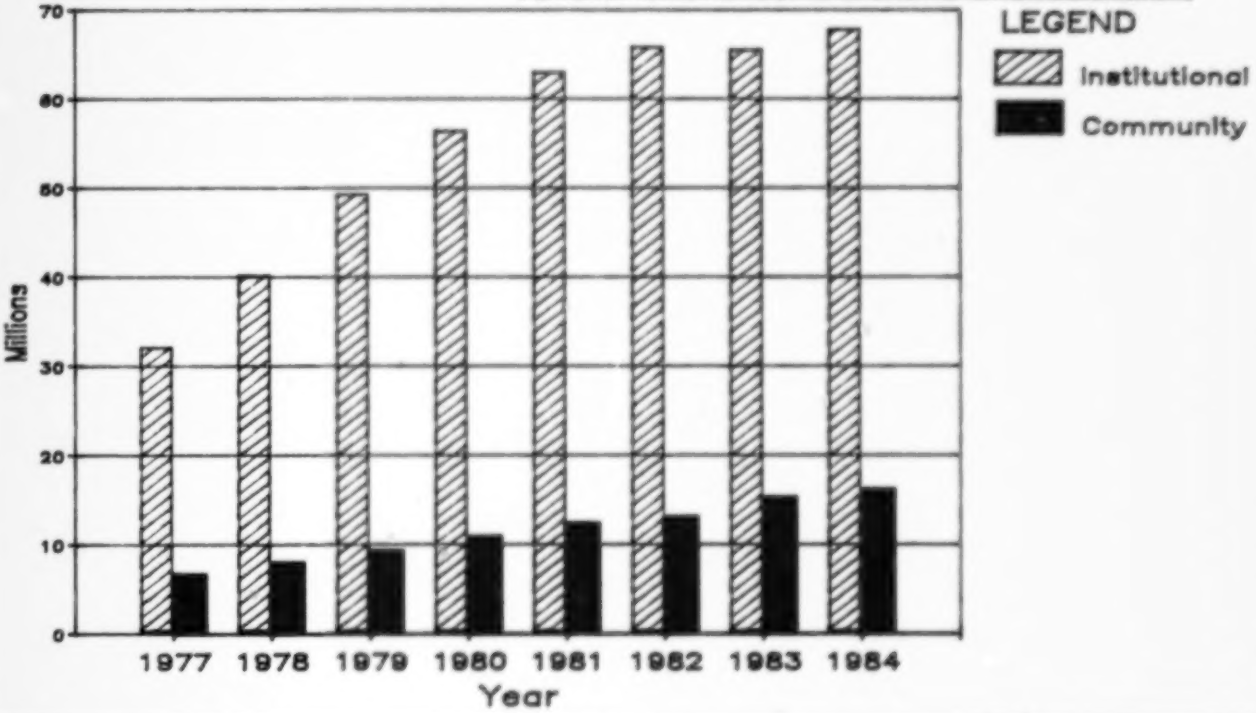
11. Title XX. According to Frank Damiao, Fiscal Administrator, Division of MR (telephone interview, 8/18/83), there are no expenditures from Title XX funds for MR clients.

12. Other Federal Funds are P.L. 89-313 dollars that finance the early intervention program. No federal 89-313 funds were received in FY `79 according to Paul Deblois (telephone, 1/31/84). In FY `83, the State Department of Education ruled that the early intervention program could no longer qualify for 89-313 funds. The $34,000 which appears in the FY '83 State Budget represents only one quarter of payment prior to the program being terminated. The state has replaced the federal funding for this program with State General Fund expenditures.

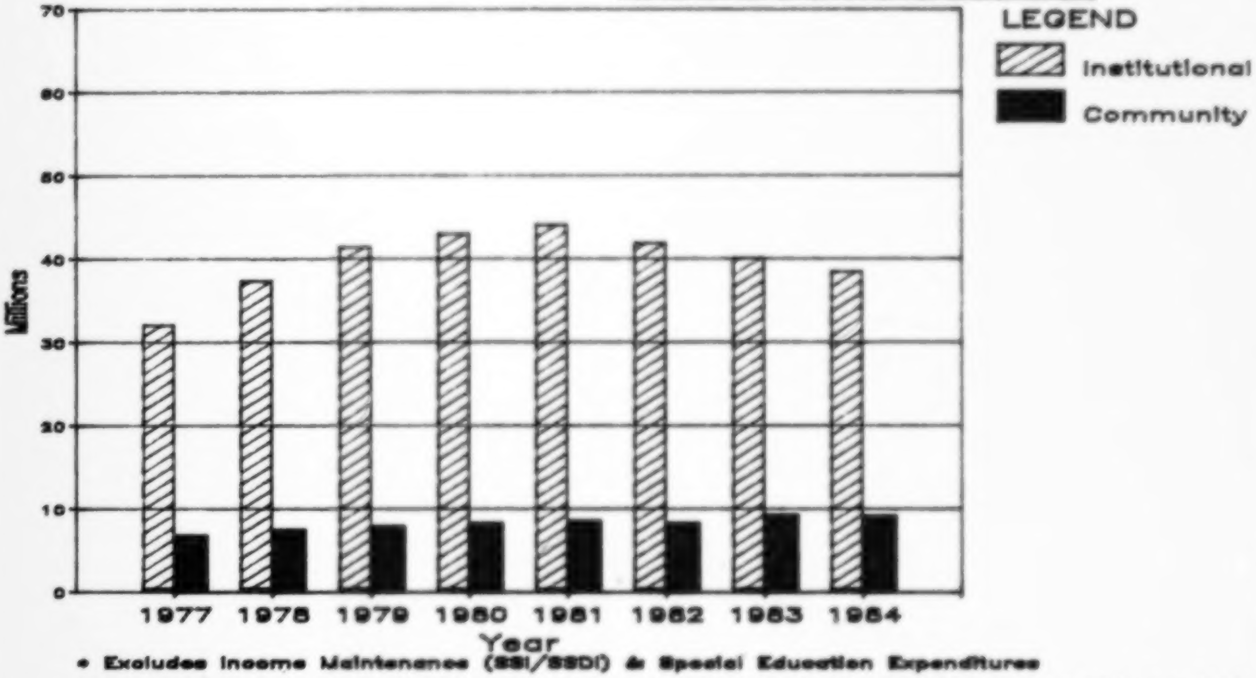
13. Private ICF/MR. The state has approximately 60 community-based privately-run ICF/MRs. The facilities are paid directly by the Department of Social and Rehabilitation Services and the federal share is carried in the SRS budget. (Starting in FY 80, the Title XIX funds for these private ICF/MRs were also displayed, for information purposes only, in the Division of MR budget as non-add interdepartmental transfers.) The figures in this analysis were provided by Anthony Barille, SRS (telephone, 8/18/83). The state share of Title XIX for these facilities is included in the State Budget under "Community Program." SRS bills the MR Division for this state share.

SOUTH CAROLINA
STATE PROFILE

SOUTH CAROLINA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

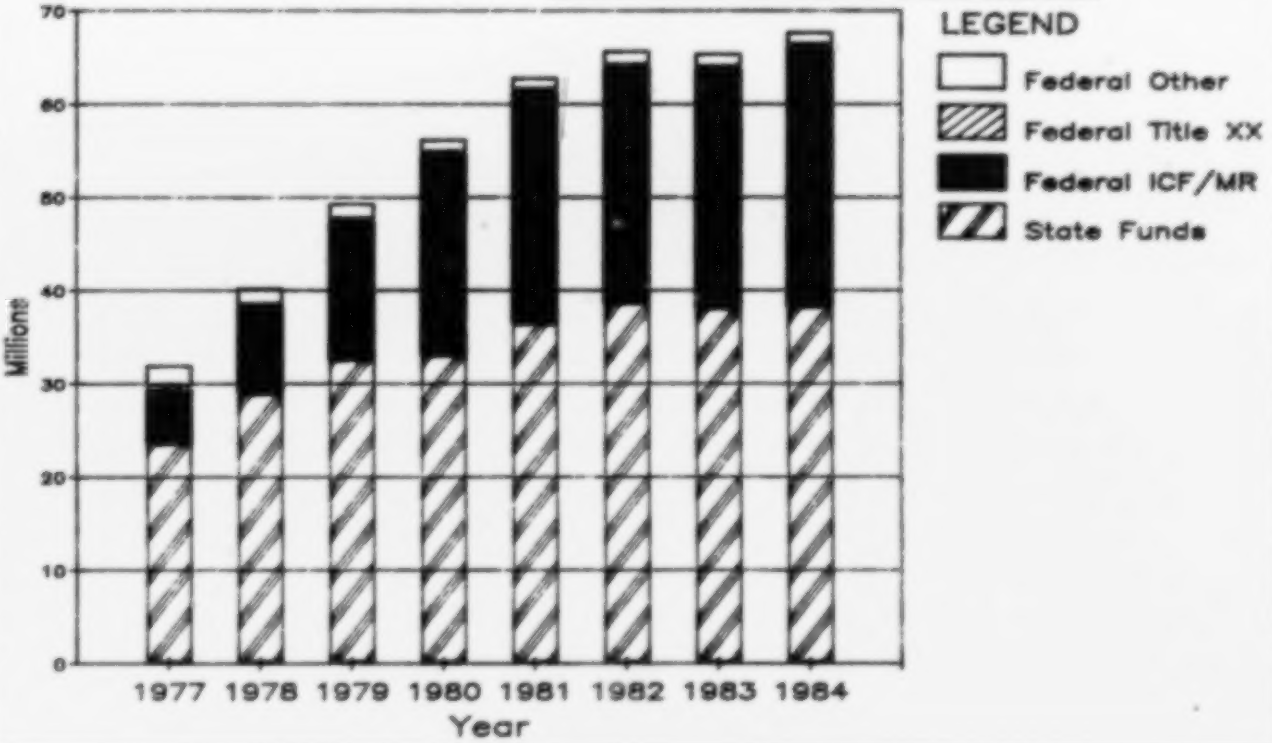


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

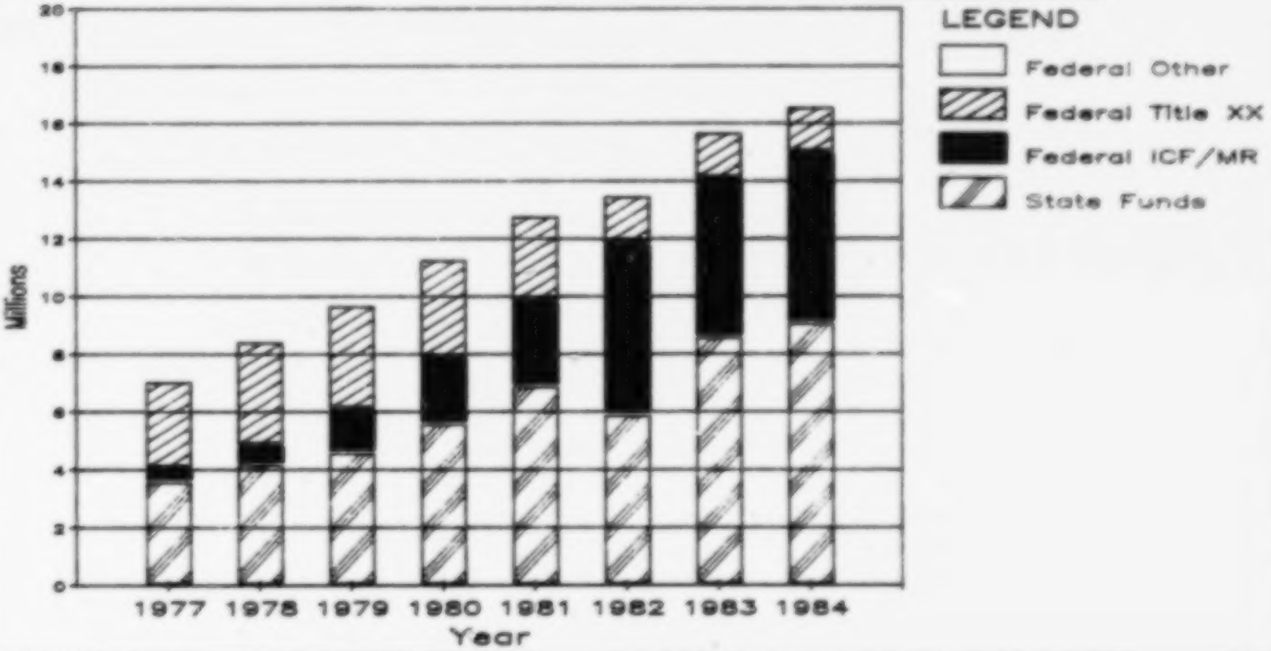
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA

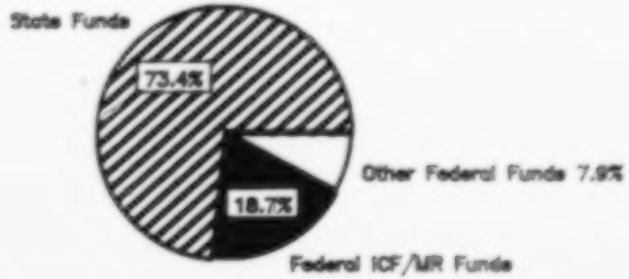
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



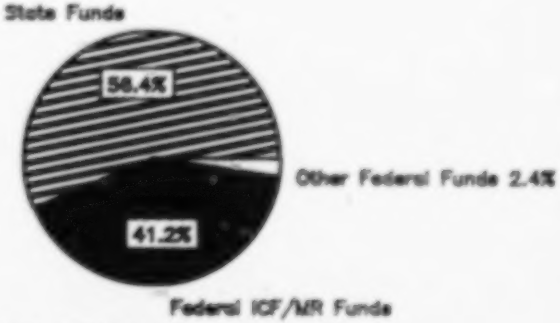
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



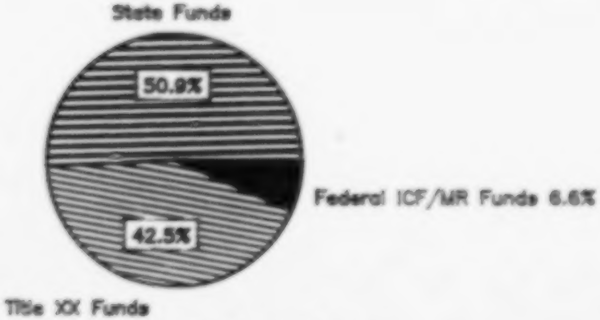
SOUTH CAROLINA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



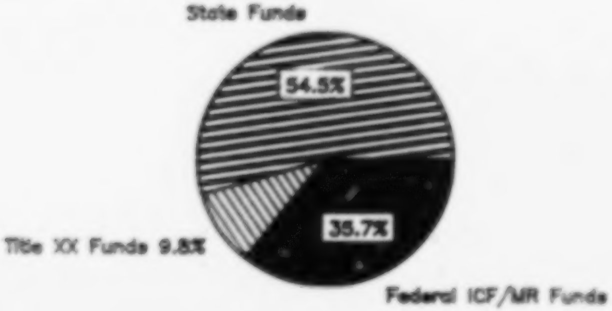
Institutional: 1977 Total Funds—$32.2 Million



Institutional: 1984 Total Funds—$67.9 Million



Community: 1977 Total Funds—$7.0 Million



Community: 1984 Total Funds—$16.6 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

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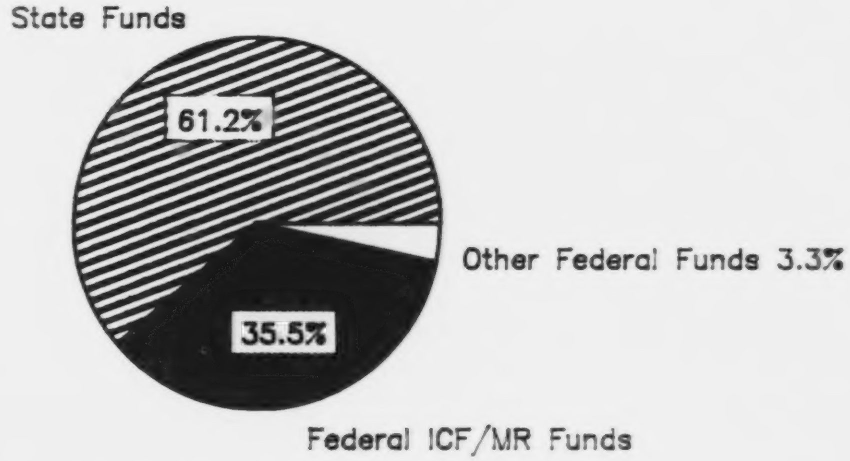
SOUTH CAROLINA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

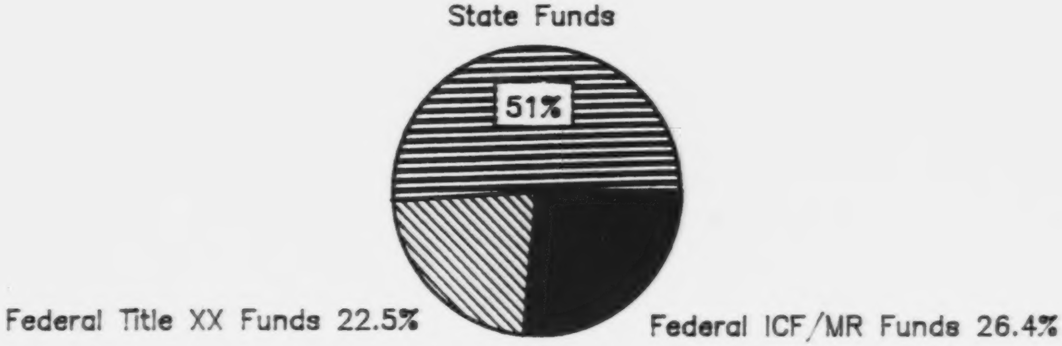
Institutional Services Funds



Total Institutional Dollars: $441 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

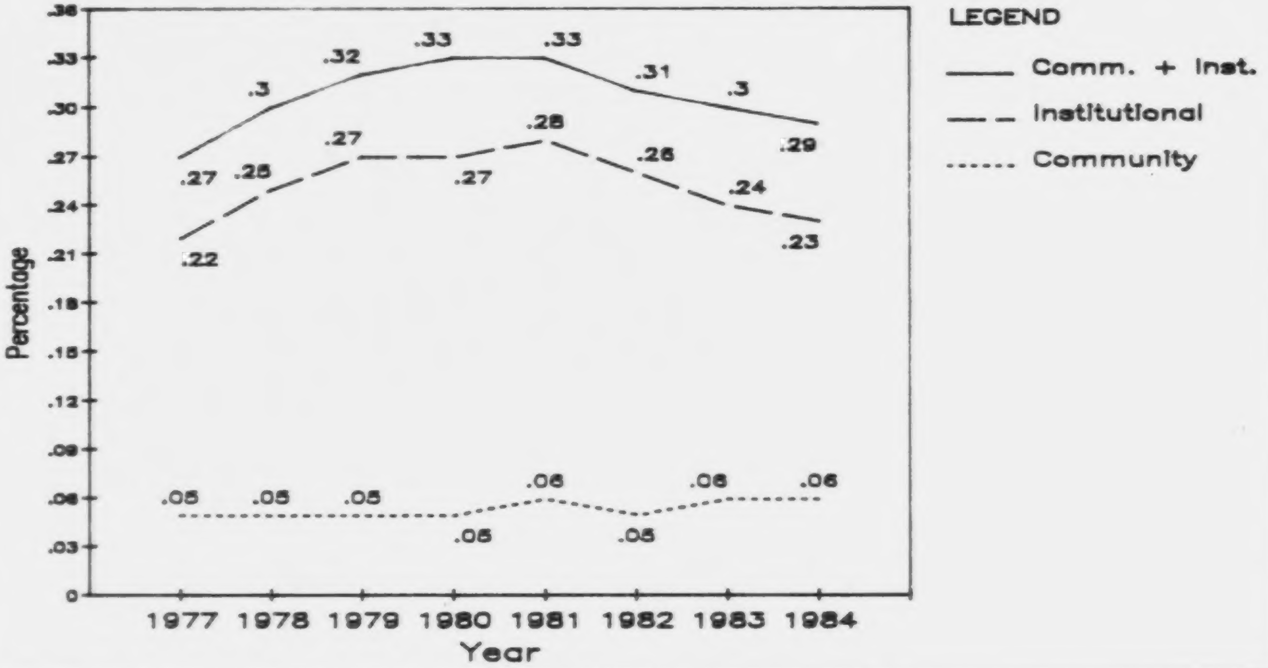


Total Community Dollars: $95 Million

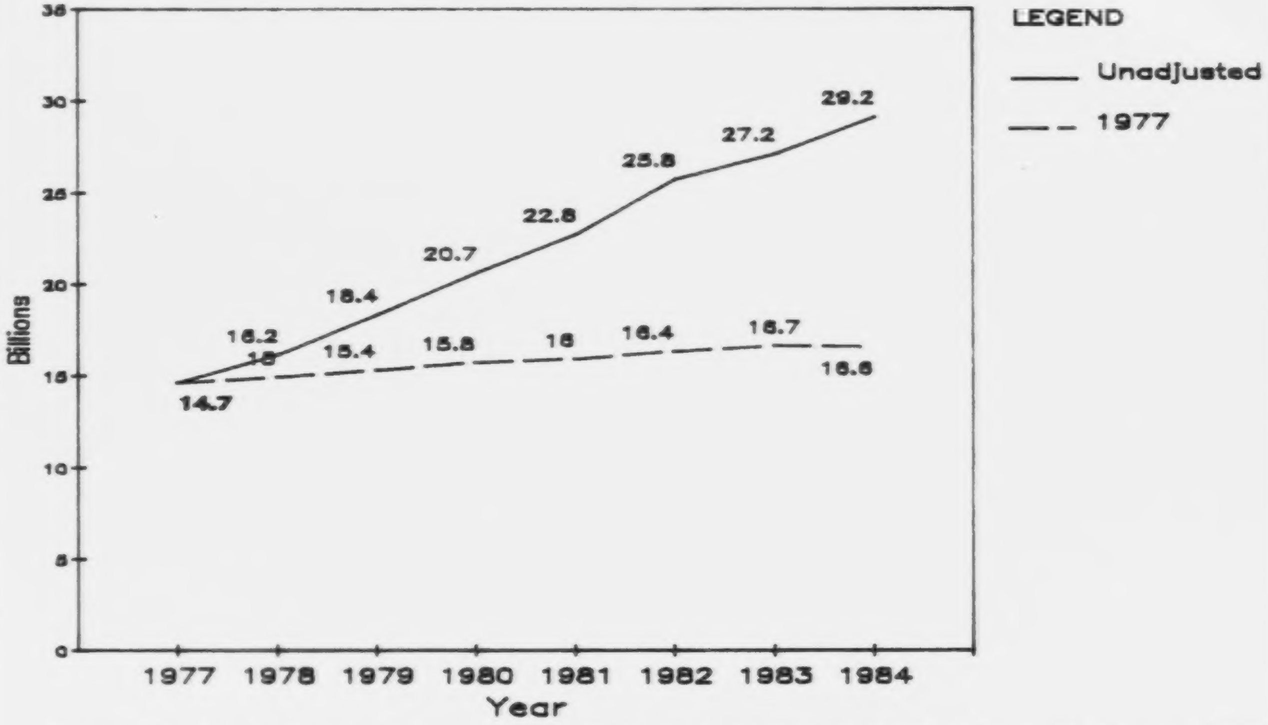
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



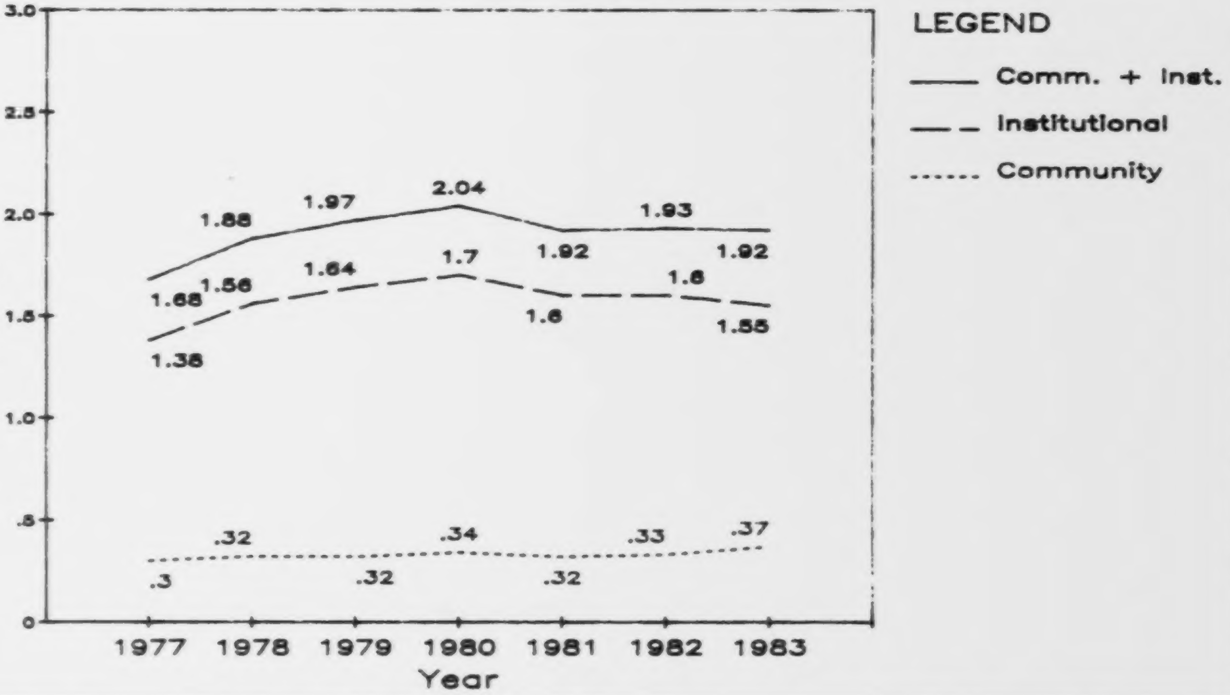
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



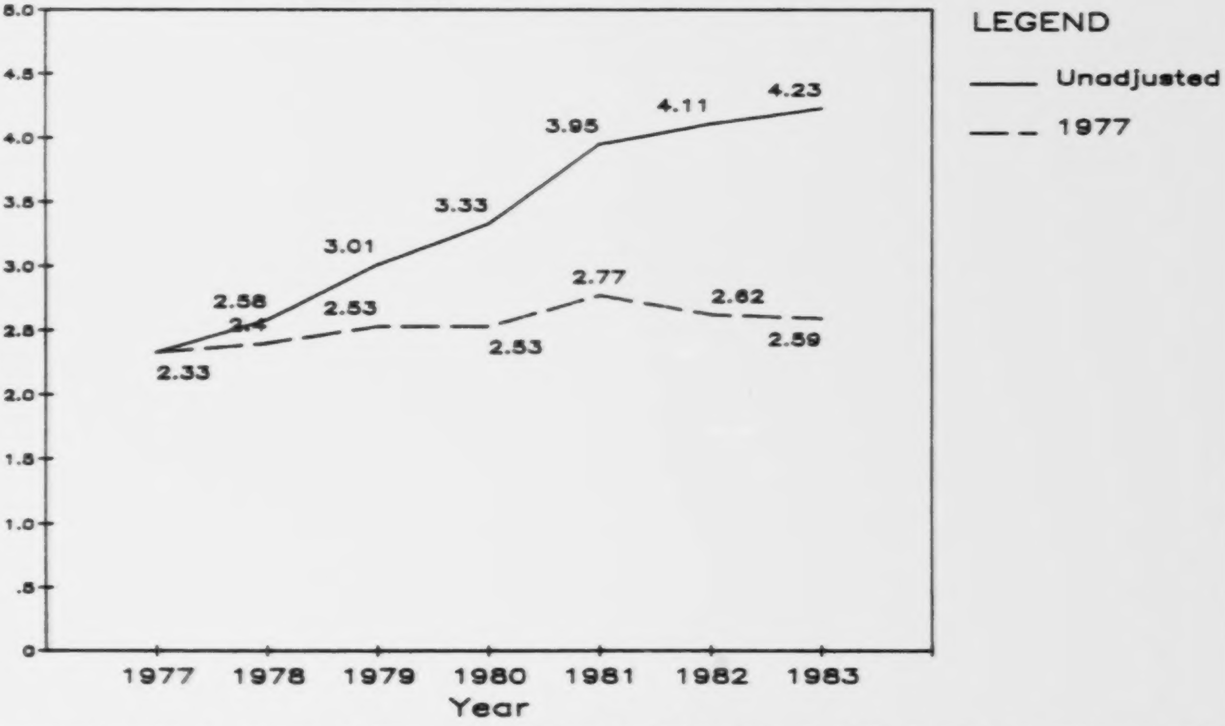
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

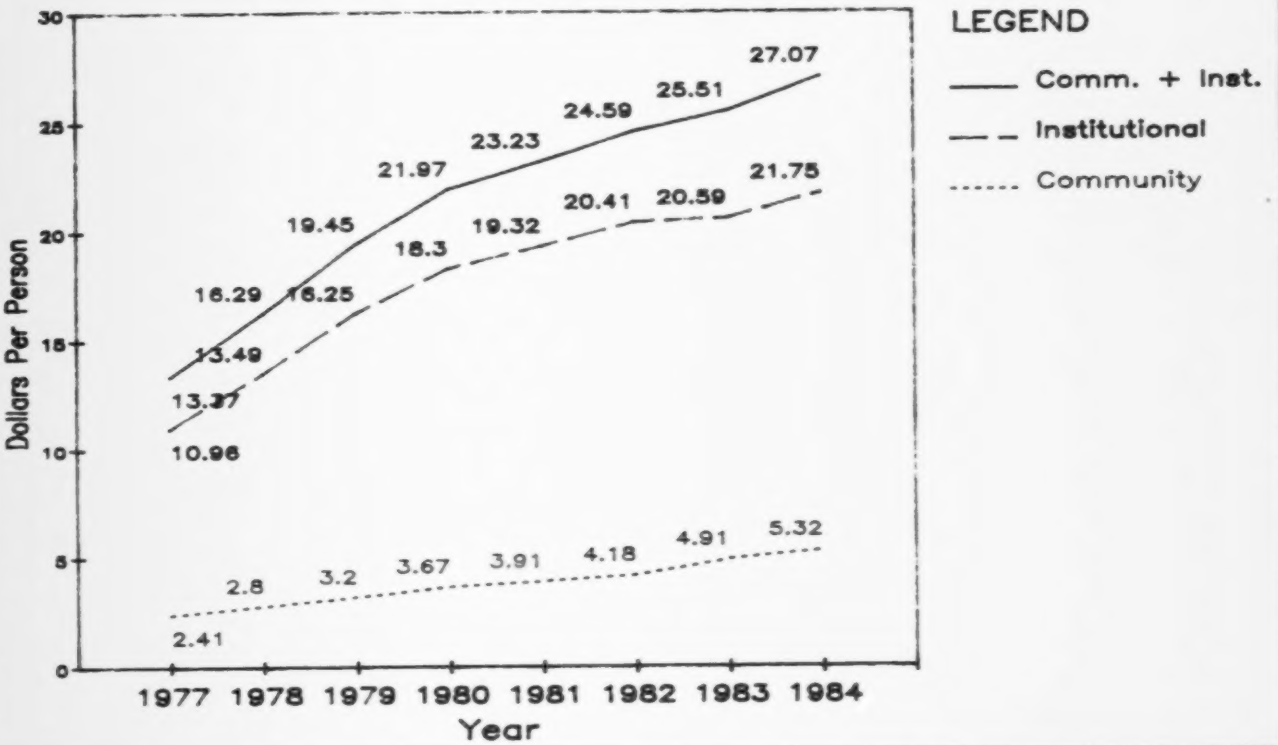


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

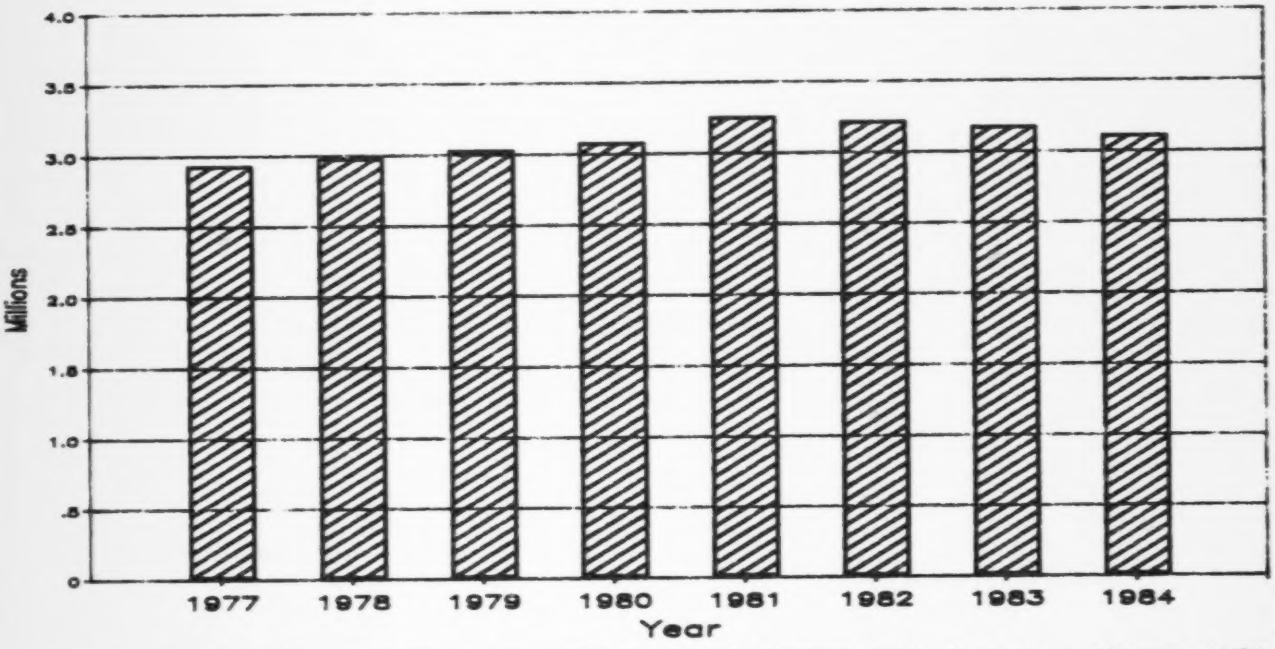


Source: Braddock, Hawes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



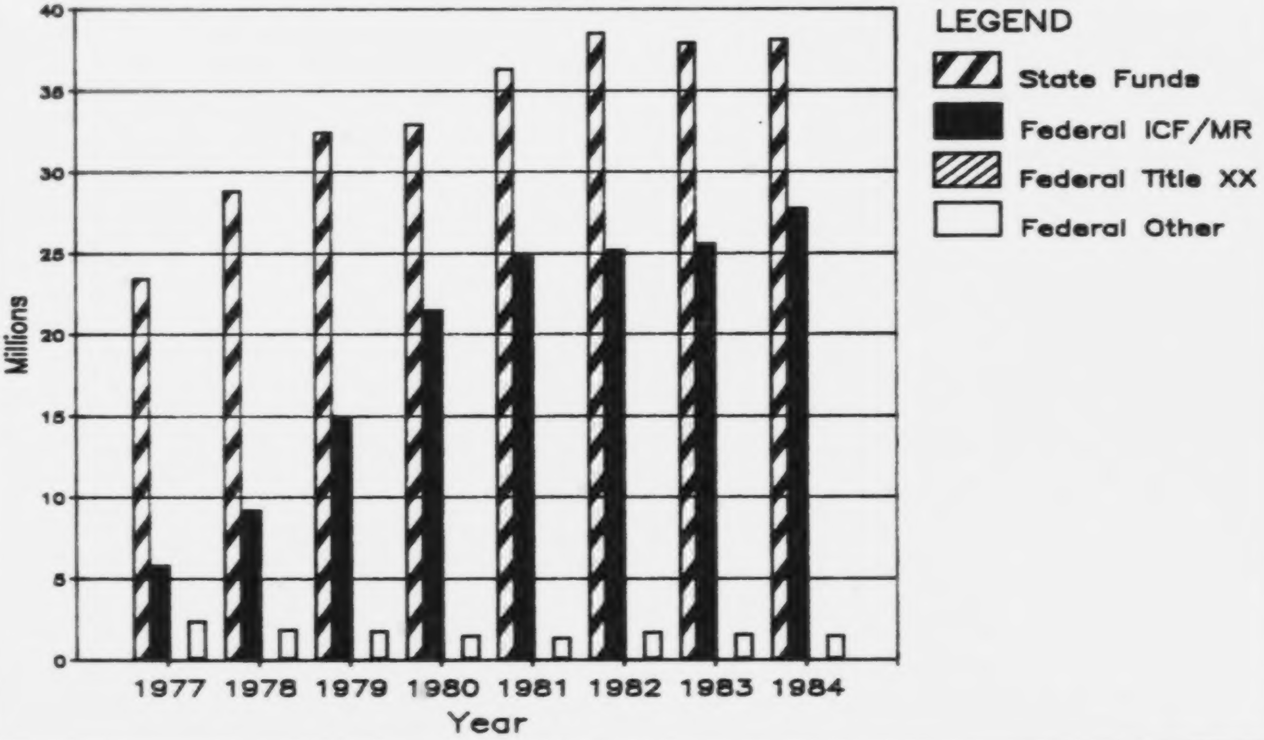
The Total State General Population FY 1977–1984



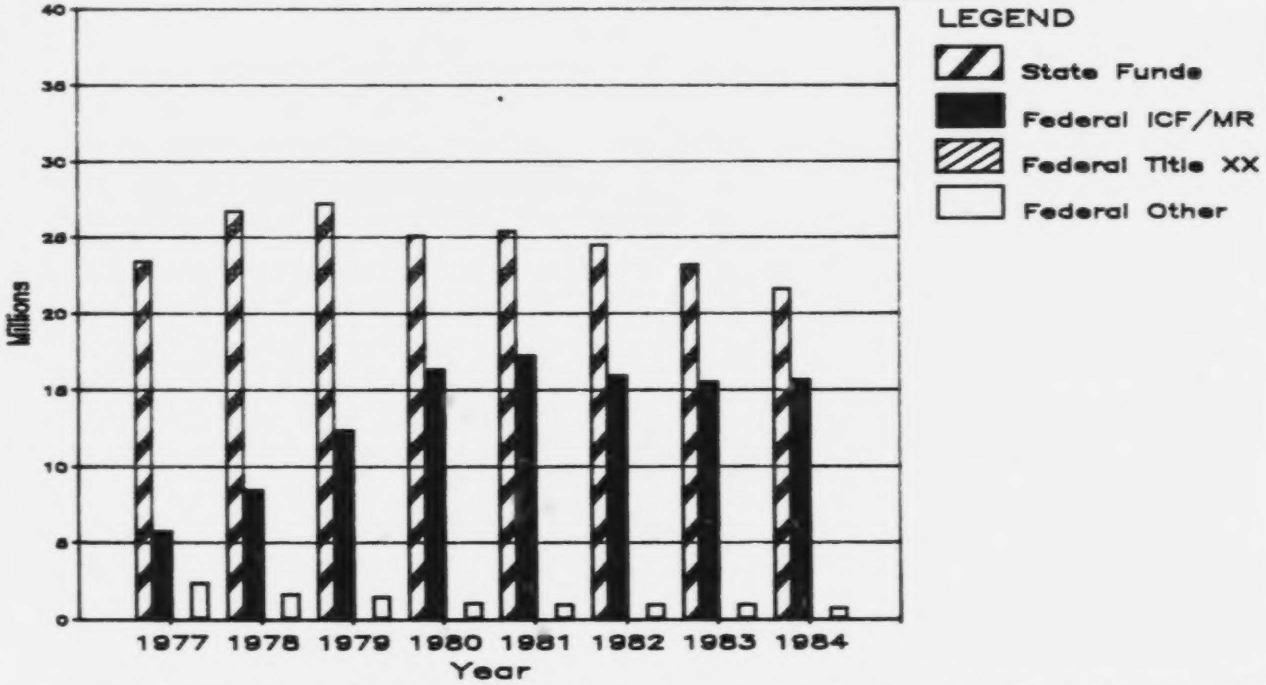
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

SOUTH CAROLINA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



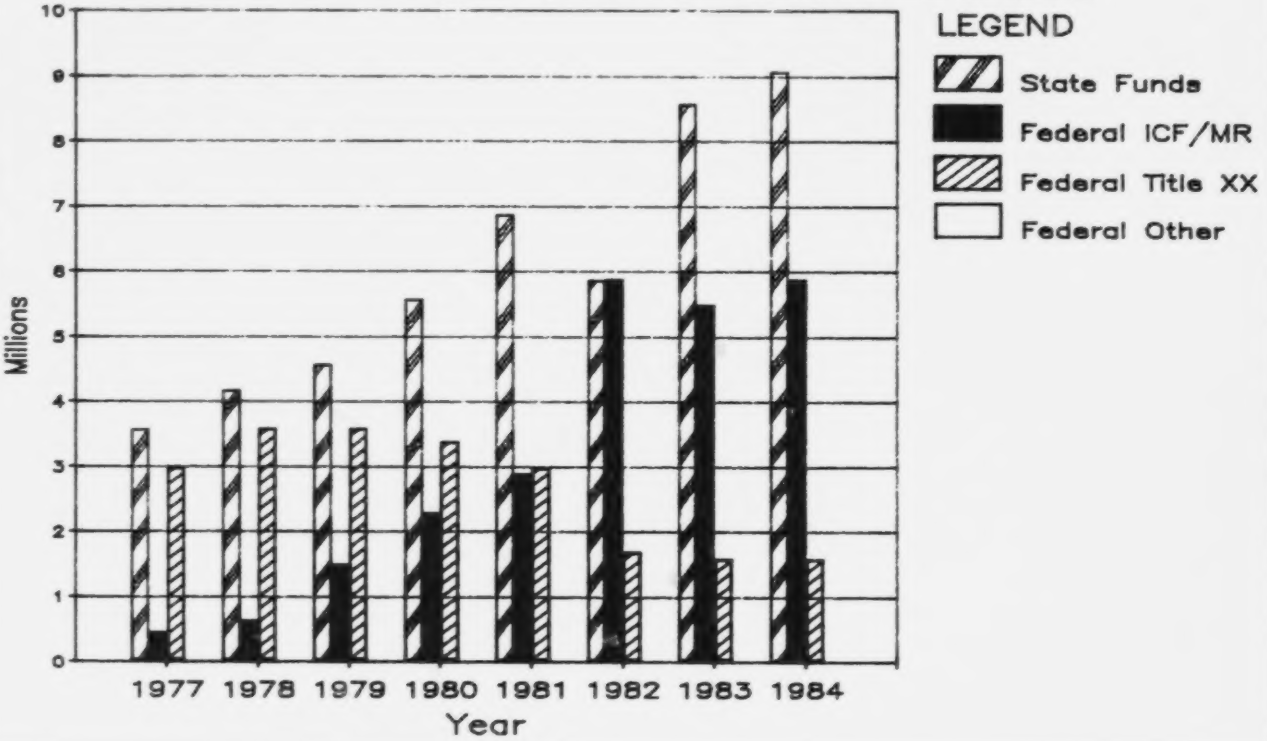
FY 1977–1984, *In 1977 Dollars*



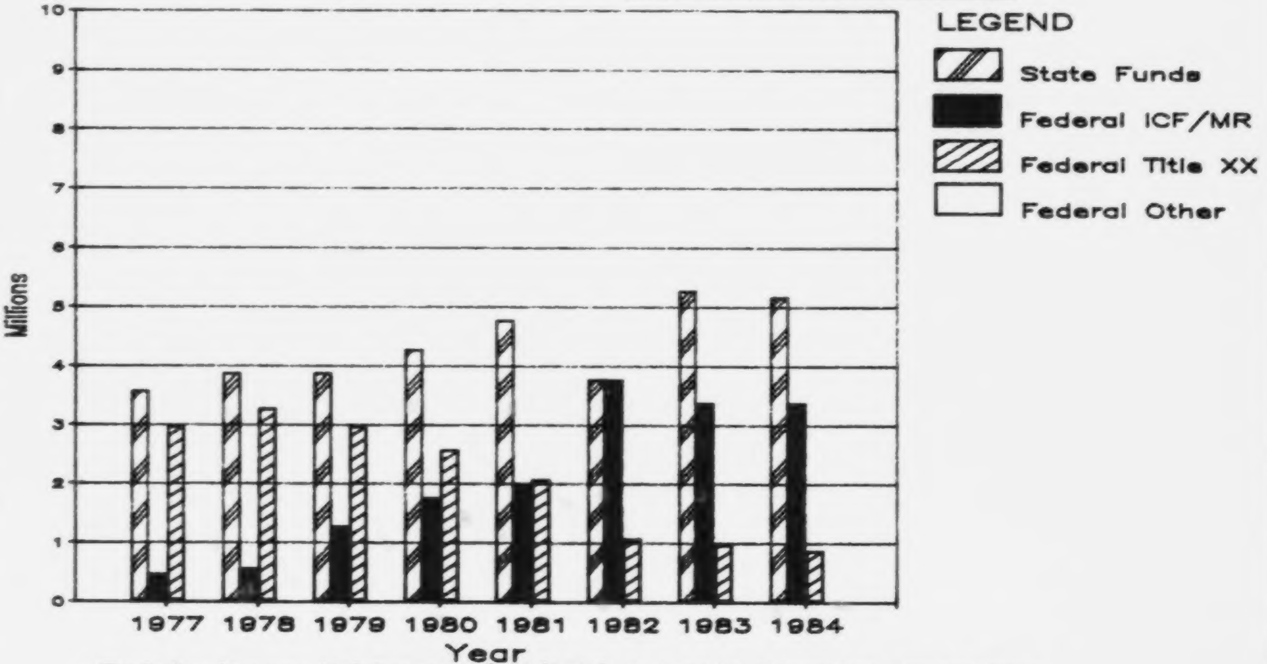
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



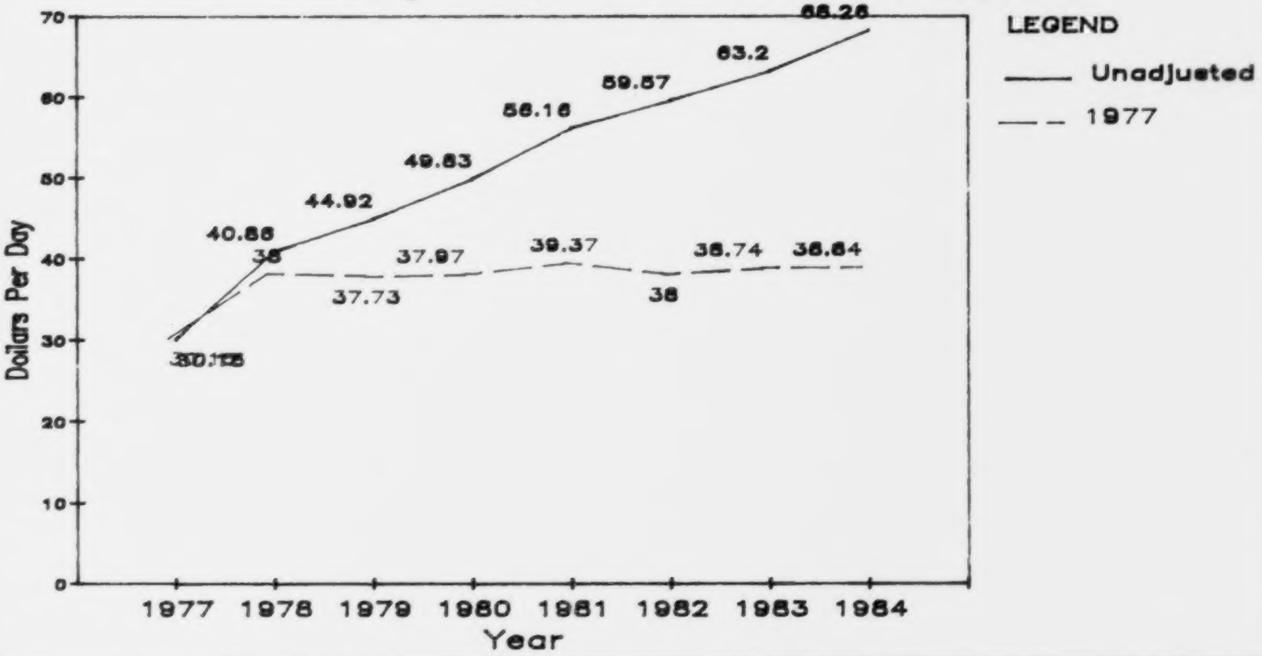
FY 1977–1984, *In 1977 Dollars*



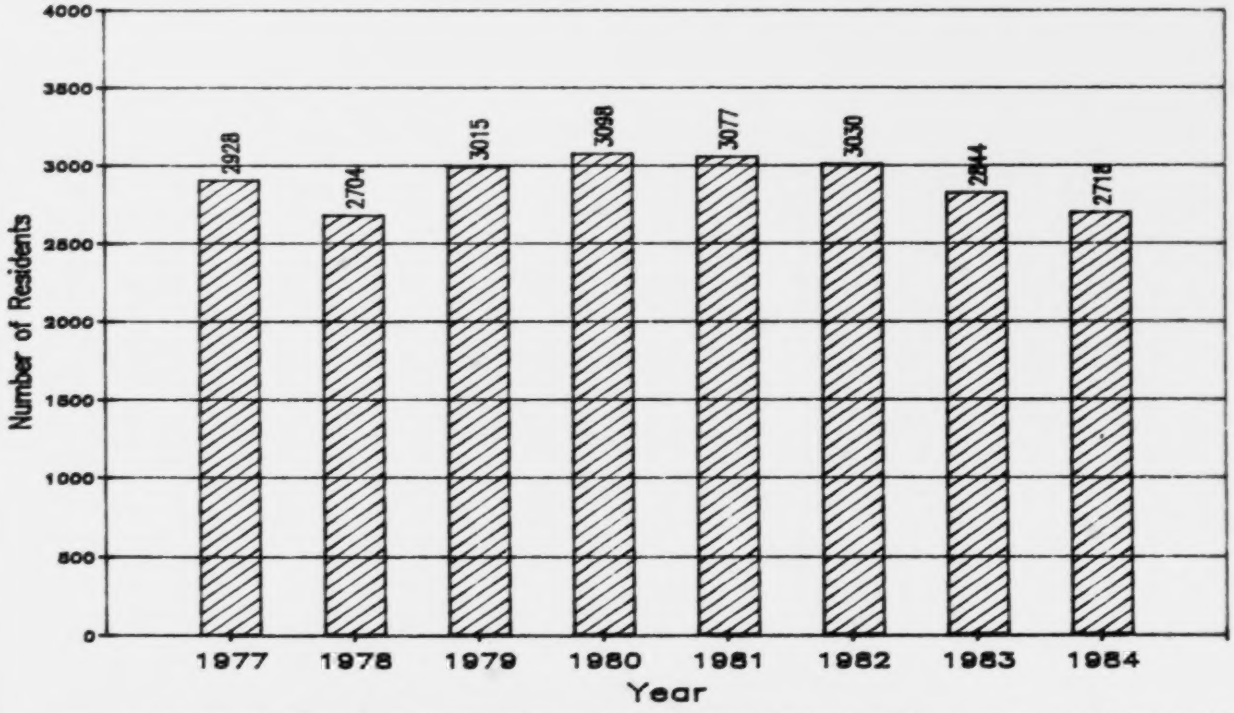
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH CAROLINA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Services for mentally retarded and developmentally disabled individuals are provided in South Carolina by the Department of Mental Retardation. The Department has a Central Office and four Regional Centers (Piedmont, Midlands, Pee Dee, and Coastal).

2. Budget Format: The program budget categories and the general budget format within the Department are consistent throughout the years of the analysis, with the exception of FY `77, when the budget areas were organized into the four Regions, administration, community services and employee benefits. For FY `78 through FY `84, the program categories in the state budget are:

    - Administration
    - Services Support
    - Developmental
    - Health
    - Community
    - Residential
    - Prevention and Research
    - Employee Benefits (FY `77, FY `80-`84)

3. Notes on Data Sources: South Carolina State Budget documents for Budget years FY `79, FY `80, and FY `82; and the South Carolina Department of Mental Retardation Budget Request 1983 - 1984 were utilized in our review of expenditures. These documents provided "actual" figures for FY `77, `78, `80, and `82; "operating budget estimates" (FY `79, FY `81, FY `83), and "Recommended" figures for FY `84. These `84 figures are extremely close to the FY `84 appropriation (phone interview, Steve Mattison, DMR, 5/23/84). Therefore, the revenue detail available form the "rocommended" figures is utilized in this analysis.

    In a 9/15/83 discussion with James E. Kirk, Deputy Commissioner, Fiscal Affairs, and a series of subsequent discussions (9/16/83; and during the following three weeks) with Steve Mattison, Budget Supervisor, Department of Mental Retardation, the Community Services and Institutional Services program elements were identified by him, thus relating lines in the published budget documents to our analytic format:

    a. "Support Services," "Developmental," "Residential," and "Health" are Institutional Services line items.

    b. "Community" is a Community Services line item.

    c. "Administration" and "Prevention and Research," within the Central Office budget are excluded from our analysis.

    d. "Employee Benefits" (`77; `80-`84), are allocated between Community and Institutional Services based on the Community/Institutional expenditure ratios each year.

    The following discussion illustrates the separate State Budget categories for expenditure totals which were utilized in our analysis, and the personnel services totals and employee benefits figures for those years where an allocation was necessary (FY `77, and FY `80-FY '84). For example, in FY `84, the total of Personnel Services expenses for "Support Services," "Developmental," "Residental," and "Health" in the State Budget--the Institutional Services components-is $45,502,000, which is 87.5% of the total of DMR personnel services. The State Budget reports employee benefits of $12,588,000 for FY '84; therefore 87.5% of these benefits--or $11,014,500--has been added to the Institutional Services portion of our analysis. Similarly, in FY `84 "Community" personnel is 6.7% of total personnel, so 6.7% of employee benefits--or $843,400--has been added to our analysis in Community Services Funds. (Note: The remaining 6% of employee fringe expenses is for Administration and Prevention and Research, lines which have been excluded from our analysis).

4. Note on Revenue Source Determination. The calculations of the revenue sources supporting these Community and Institutional Services expenditures were done in the following sequence:

   a. Federal funds are detailed at the back of the DMR section of the South Carolina budget documents.

   b. Title XX, P.L. 94-142, and other apparent "Community" Federal funds are deducted from the total DMR Federal funds, and entered as Title XX or as Other Federal Funds in the Community Services portion of the analysis. The balance thus becomes (along with the funds identified in Note c below) Institutional Services Other Federal Funds.

   c. There are certain lines in the section "Other Funds" (also at the back of the DMR section of the State Budget) which are in fact Federal funds (Mattison phone interview, 9/16/83). These are: "Title XIX Reimbursement," "Title XVIII Reimbursement," "Drugs-Medicaid Reimbursement," and "Special Milk, Breakfast, Lunch Program." These funds are totaled (except "Title XIX reimbursement"--see Note e below), and added to Institutional Services--Other Federal Funds in the analysis.

   d. The remaining (non-Federal) "Other Funds" in the State budget--Note c above--are then entered in Institutional Services--Other State Funds in the analysis.

   e. Medicaid ("Title XIX Reimbursement") has code numbers in the FY '82 South Carolina budget documents, and according to Mattison (9/16/83) code 15000000 indicates "community." Dollar amounts are $1,330,900 in FY `80 and $1,787,000 in FY `81, or 5.8% and 6.7% respectively, of the total DMR Title XIX expenditures. These percentages, at the suggestion of the agency, were used to determine FY 1977-`79 and FY 1982-`84 Institutional and Community Title XIX by linear projection.

   f. "DDSA" funds are reported at the back of the DMR section of the budget documents, and as suggested by Mattison (10/3/83) are included with Institutional Services--Other Federal Funds in the analysis.

   g. The categories "Revenue for Credit to the General Fund--Federal Funds," and "Revenue Earmarked for Principal and Interest" were excluded from the analysis, in that they are primarily "indirect and or overhead cost recovery." This falls within the general definition of central administration, which is excluded from the analysis.

II. INSTITUTIONAL SERVICES

5. Institutional Services. The discussion in Notes 3 and 4 above describes procedures we used to determine expenditures and funding detail for the Whitten, Piedmont, Coastal, and Pee Dee Centers. The aggregated "residential client enrollments" for these centers are:

FY 1977 - 2,928
FY 1978 - 2,704
FY 1979 - 3,015
FY 1980 - 3,098
FY 1981 - 3,077
FY 1982 - 3,030
FY 1983 - 2,844
FY 1984 - 2,718 (estimated)

(Source: Ms. Barbara Hegler, Data Manager and Research Analyst, DMR, correspondence, 5/25/84.)

III. COMMUNITY SERVICES

6. Community Services consists of the "community" line in the FY `79, FY `80, FY `82 and FY `84 South Carolina budget documents. In FY `77 and FY `80 through FY `84, an apportioned share of employee benefits was added (see Note 3 above).

7. Title XIX consists of the calculated portion of Federal Medicaid revenues reported in the back of the DMR budget book sections. The South Carolina State Budget for the Fiscal Year 1978 - 79 notes in the introduction to the Department of Mental Retardation budget section: "During Fiscal Year 1976 - 77, the community residence programs, residential houses serving eight clients each, also reached a milestone by certifying a home under the Medicaid (Title XIX) ICF/MR-15 program" (p.1423). The state share to these Title XIX funds is within the Community Services State General Fund category of our analysis. As of March, 1984, there were fourteen facilities, totaling 126 beds. Most sites are eight beds in size; there are two 16-bed facilities. There are no Title XIX Community Care Waiver Funds included in the analysis at this time.

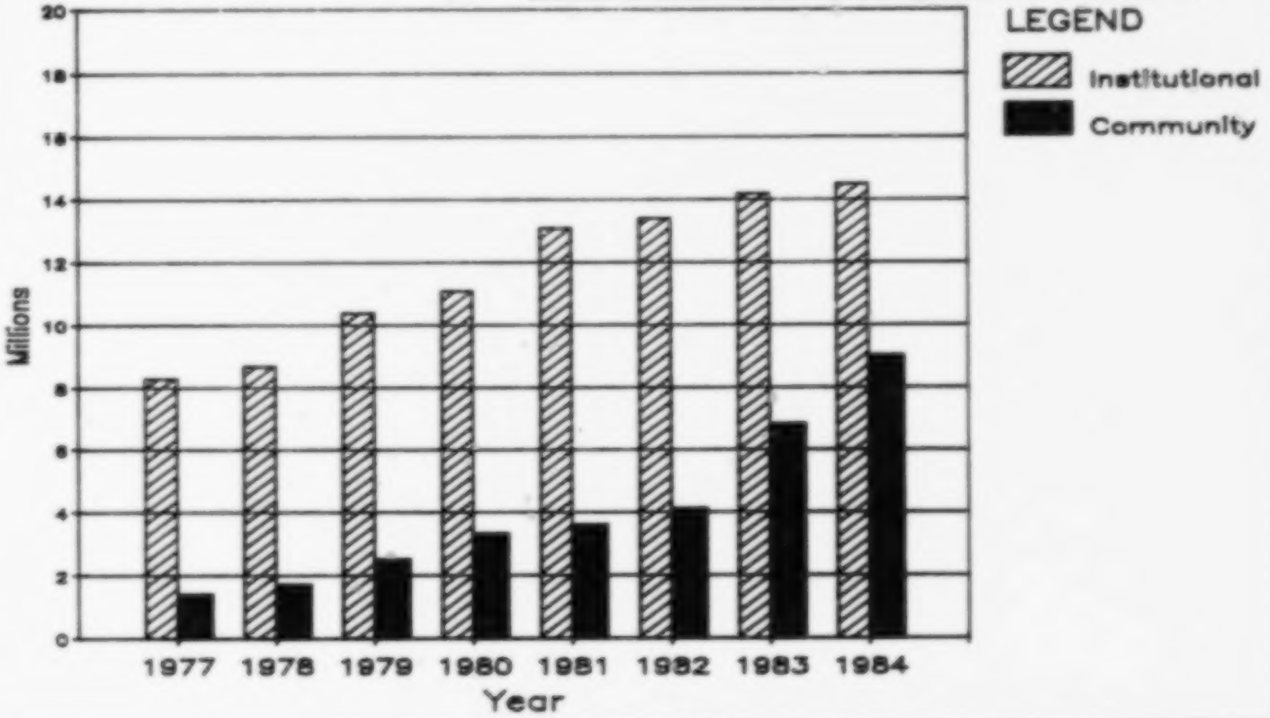
8. Title XX funds are as reported in the budget documents for the DMR (see Note 4 above).

9. Private ICF/MR. Mr. Bruce Bondo, Assistant Comptroller, Federal Grants, Medical and Public Assistance, Department of Social Services, provided the FY `84 estimated expenditure figures for the private ICF/MR facilities. Mattison (5/23/84 telephone interview) indicated that there are 70 private ICF/MR residents, with the "State Share" being budgeted through the Department of Social Services. Jeff Saxon, Audit Supervisor, Office of Audit and Control, Department of Social Services provided the FY `77 through `83 figures for private ICF/MR reimbursements.

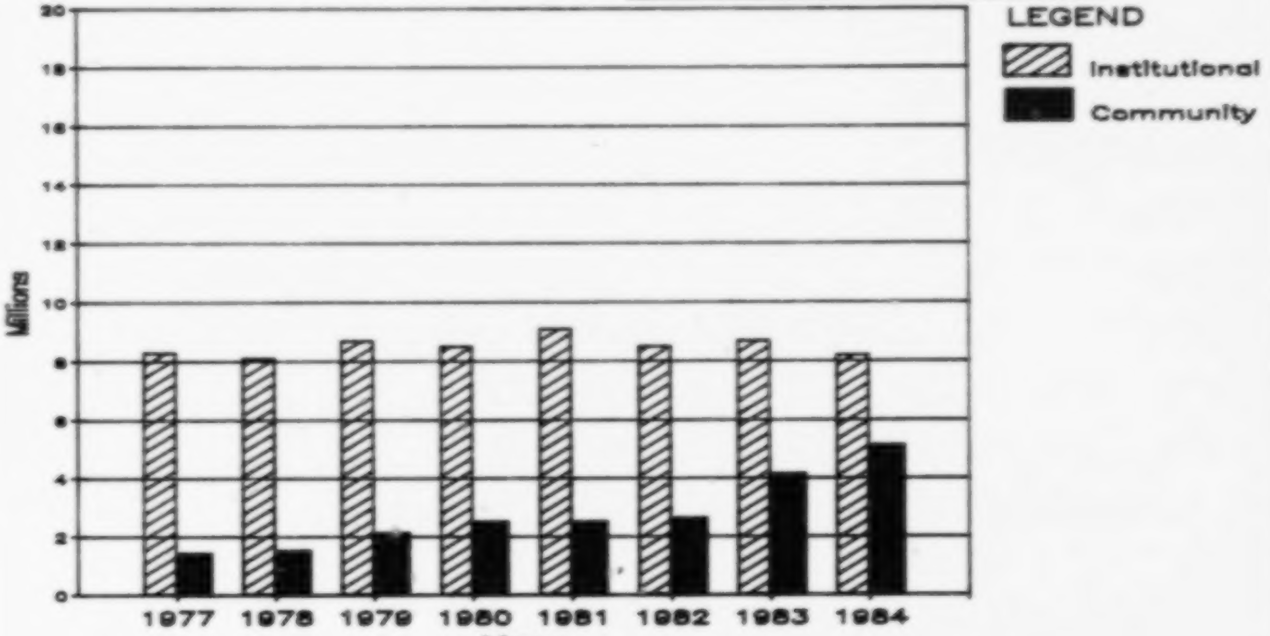
   Jeff Saxon, Audit Supervisor, noted that the Title XIX community facilities operated by DMR are managed, and budgeted, exclusively by that agency; his agency (DSS) only budgets the Federal funding; the state share is in DMR's budget.

SOUTH DAKOTA
STATE PROFILE

SOUTH DAKOTA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

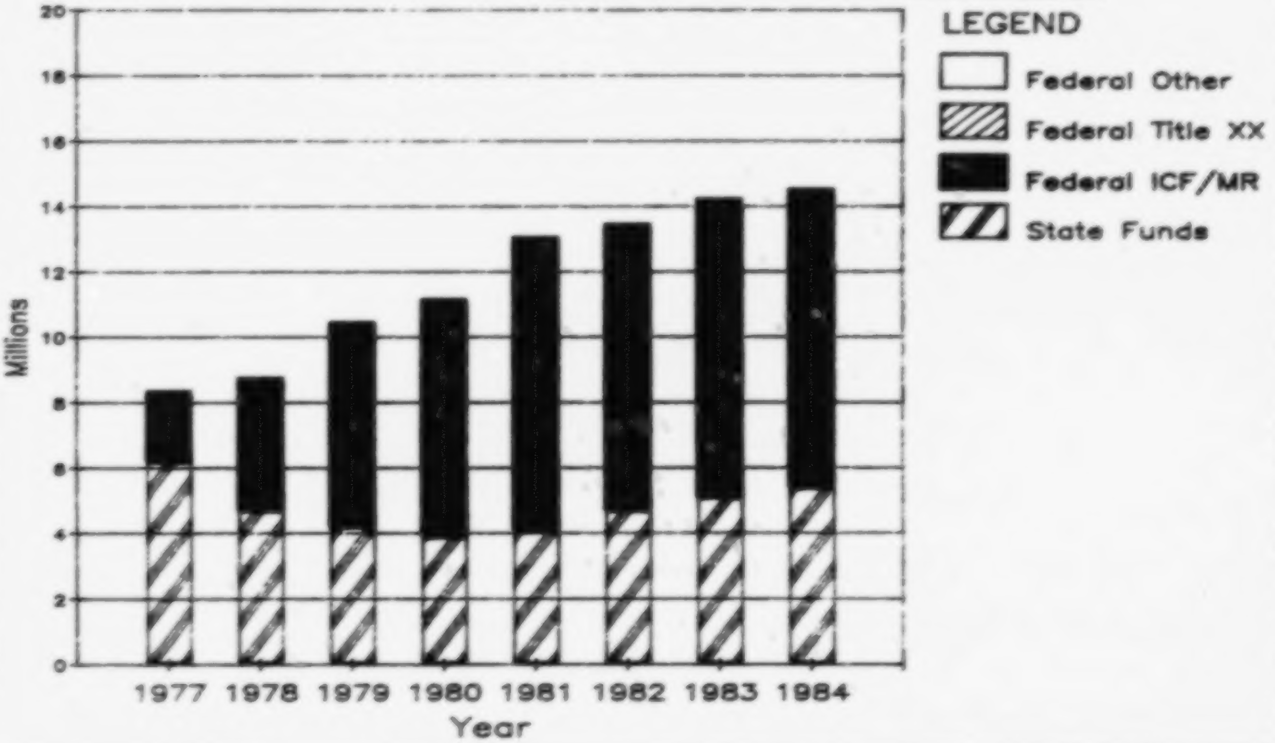


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

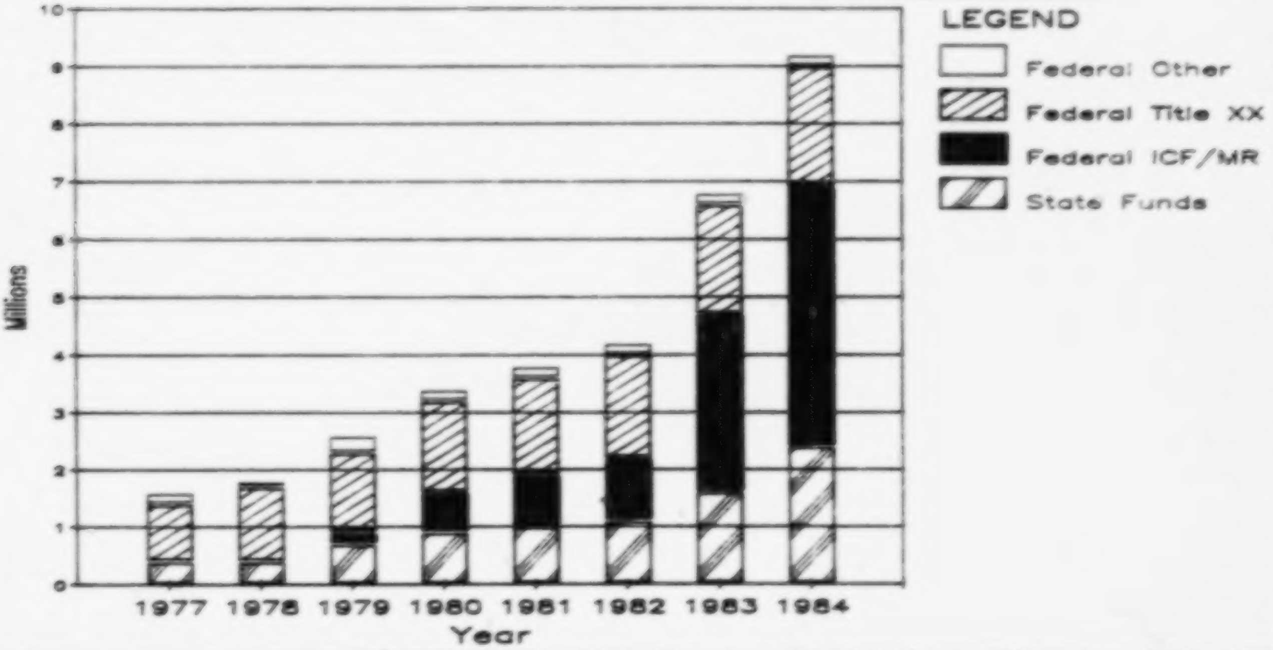
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

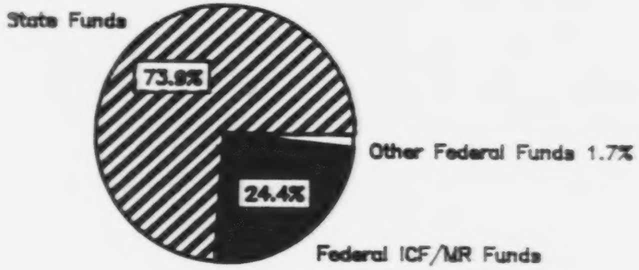
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



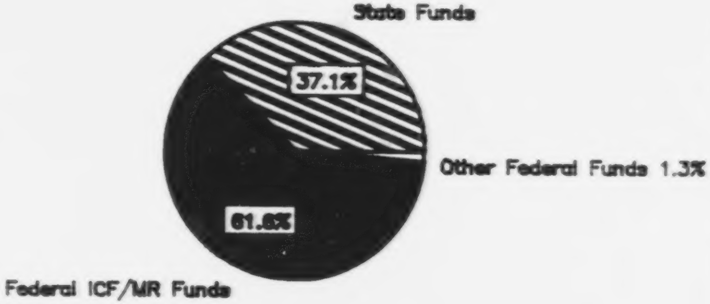
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



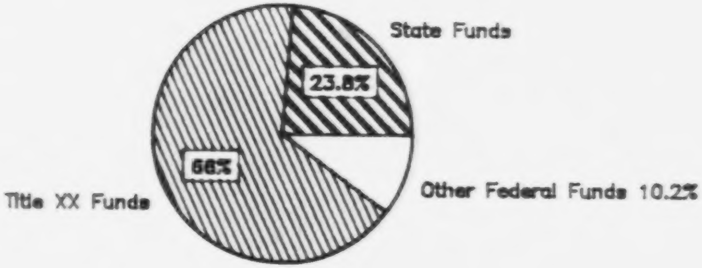
SOUTH DAKOTA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



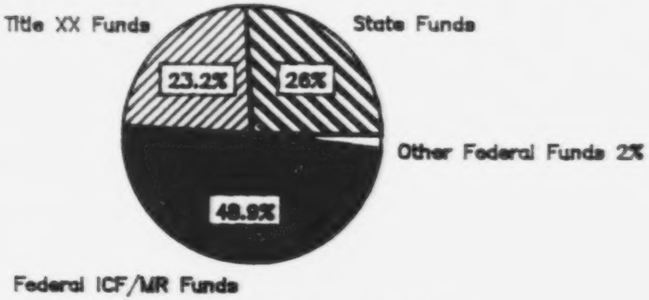
Institutional: 1977 Total Funds—$8.4 Million



Institutional: 1984 Total Funds—$14.6 Million



Community: 1977 Total Funds—$1.5 Million

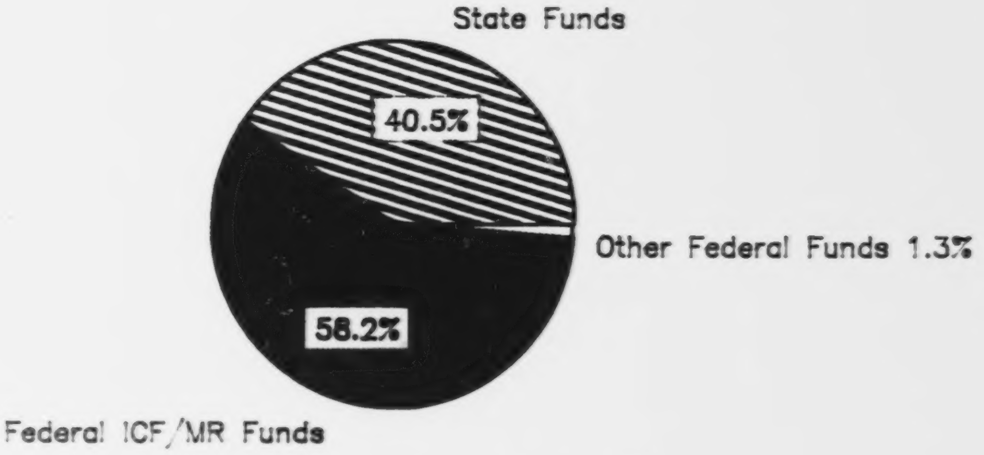


Community: 1984 Total Funds—$9.1 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

SOUTH DAKOTA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

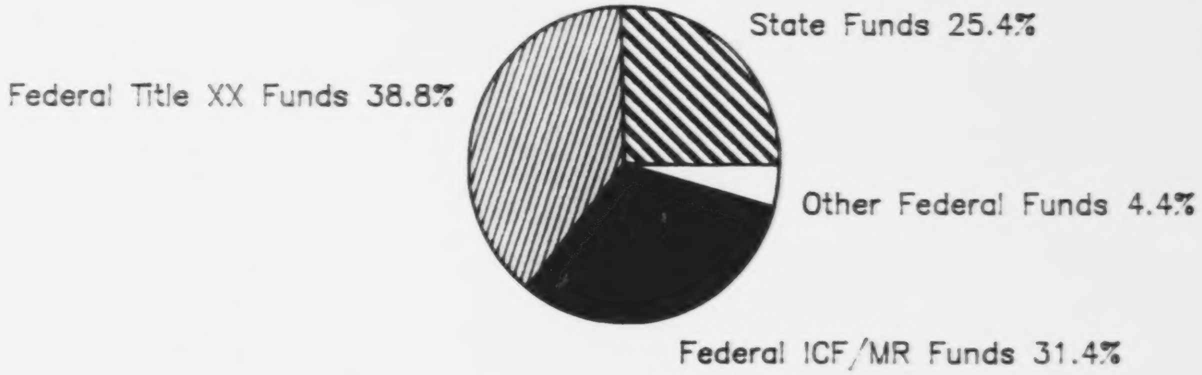
Institutional Services Funds



Total Institutional Dollars: $94.5 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



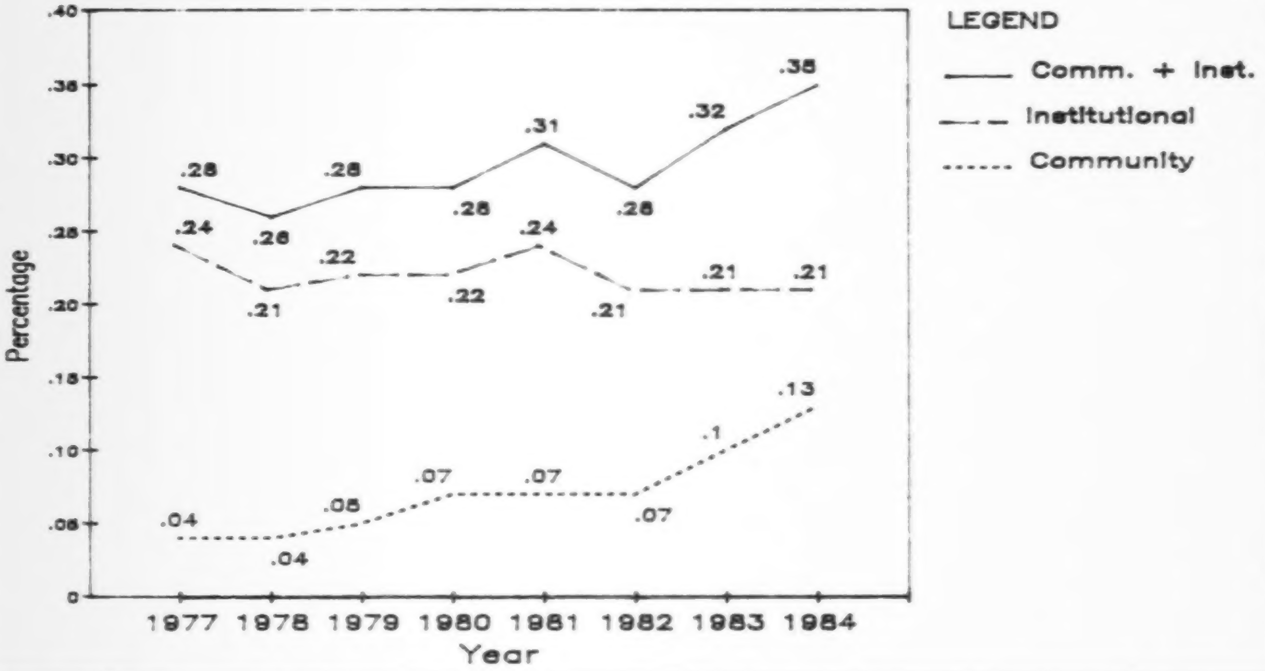
Total Community Dollars: $33.2 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

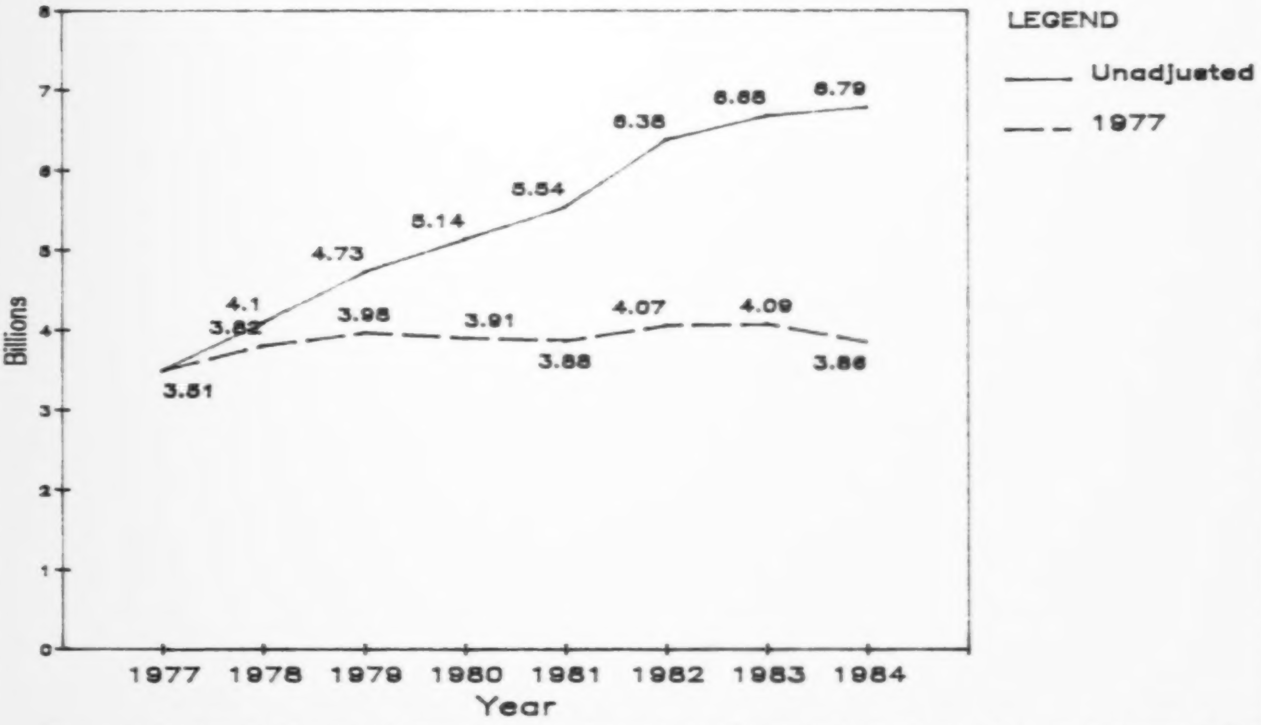
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

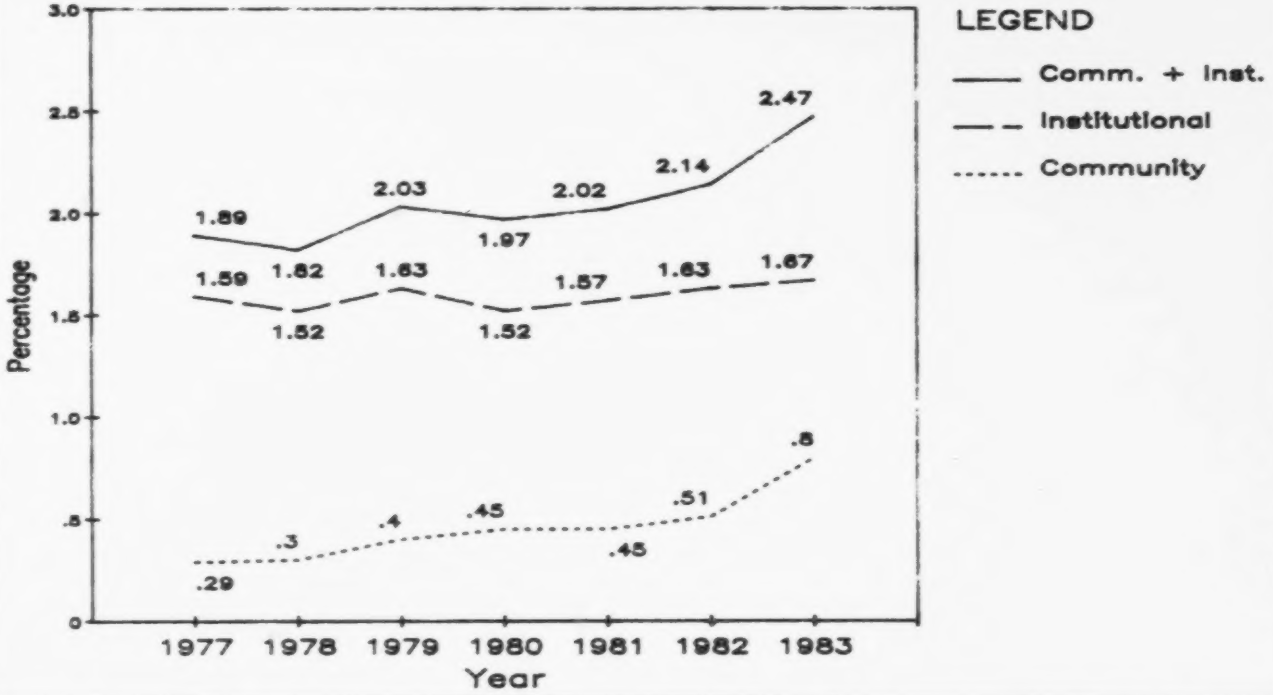
FY 1977–1984



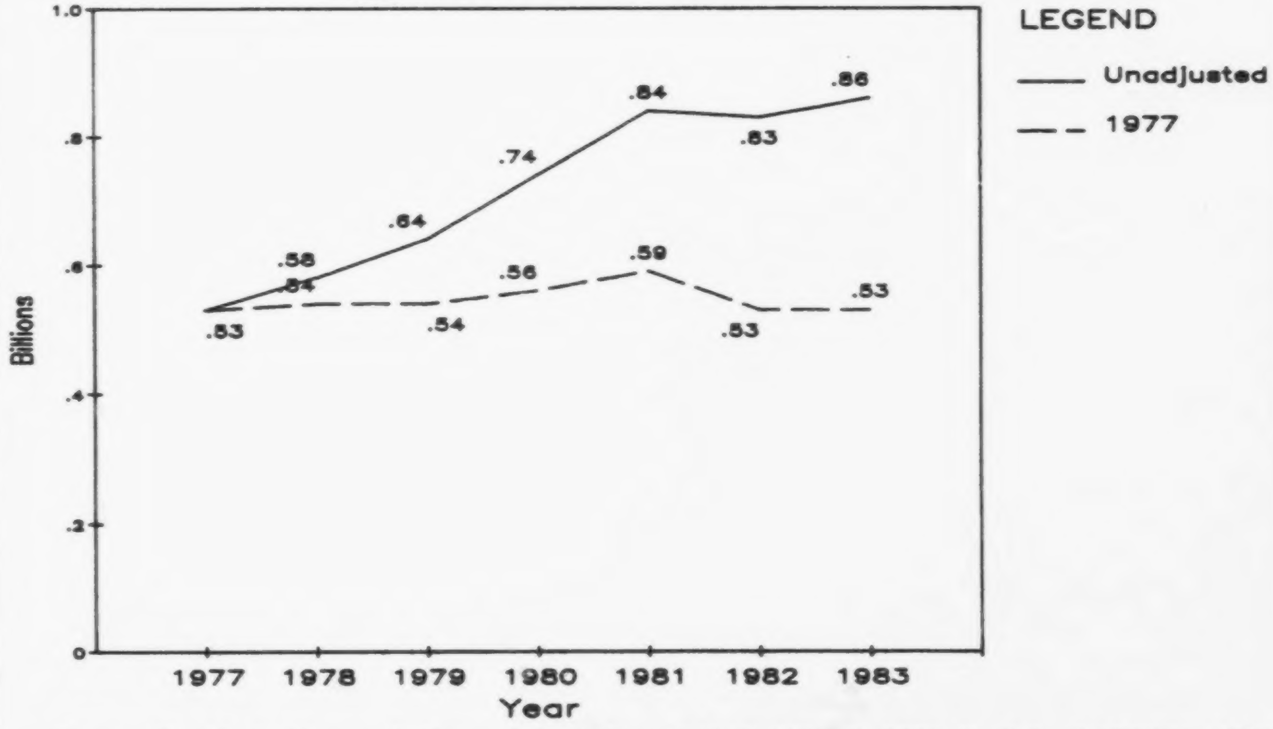
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



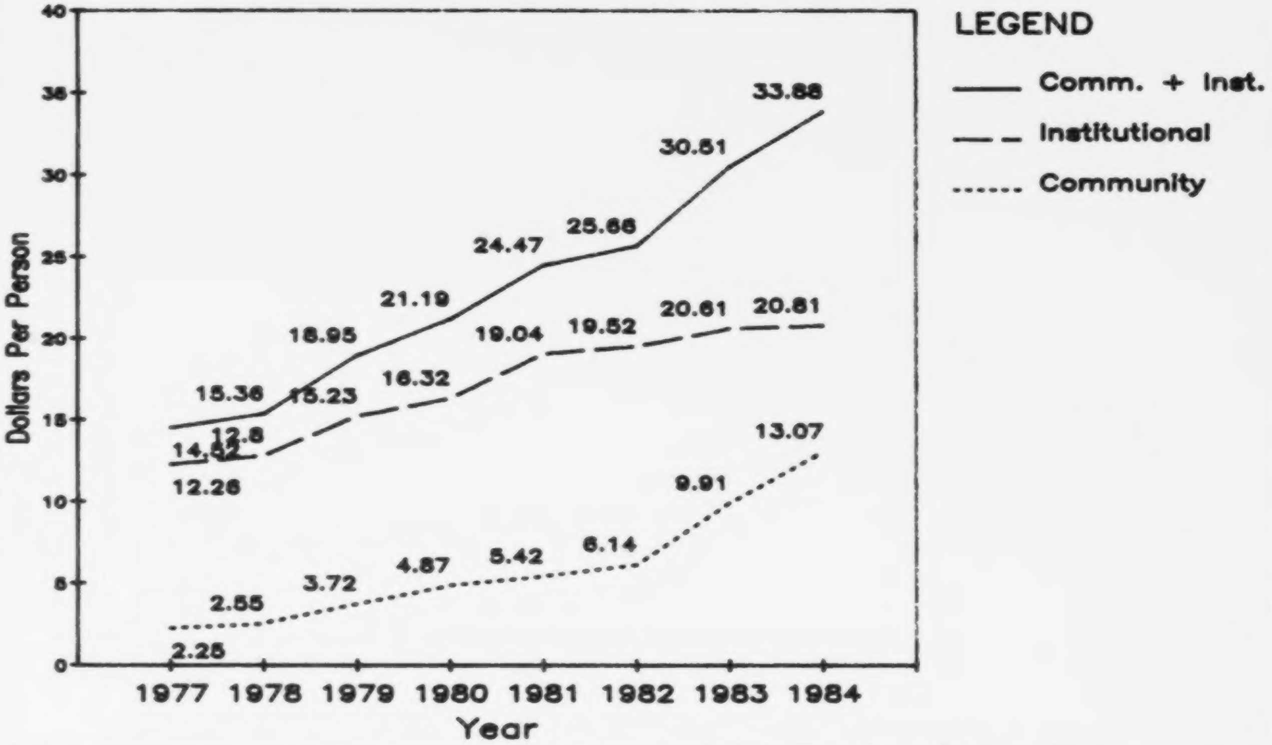
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



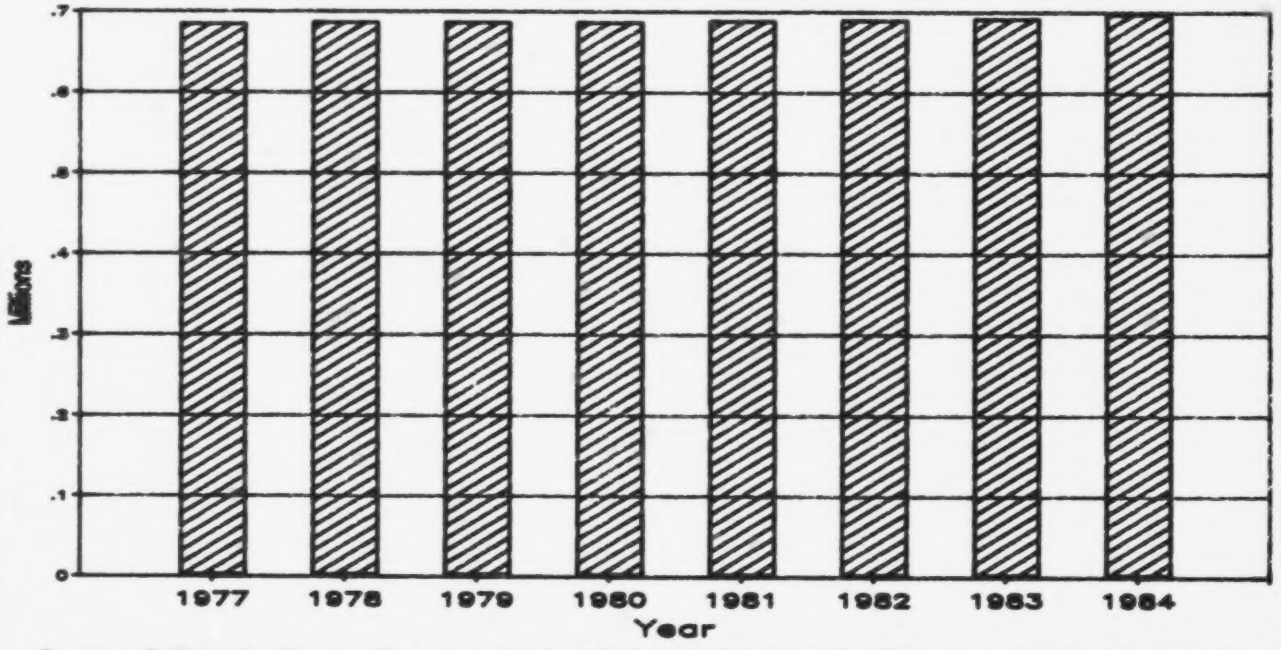
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



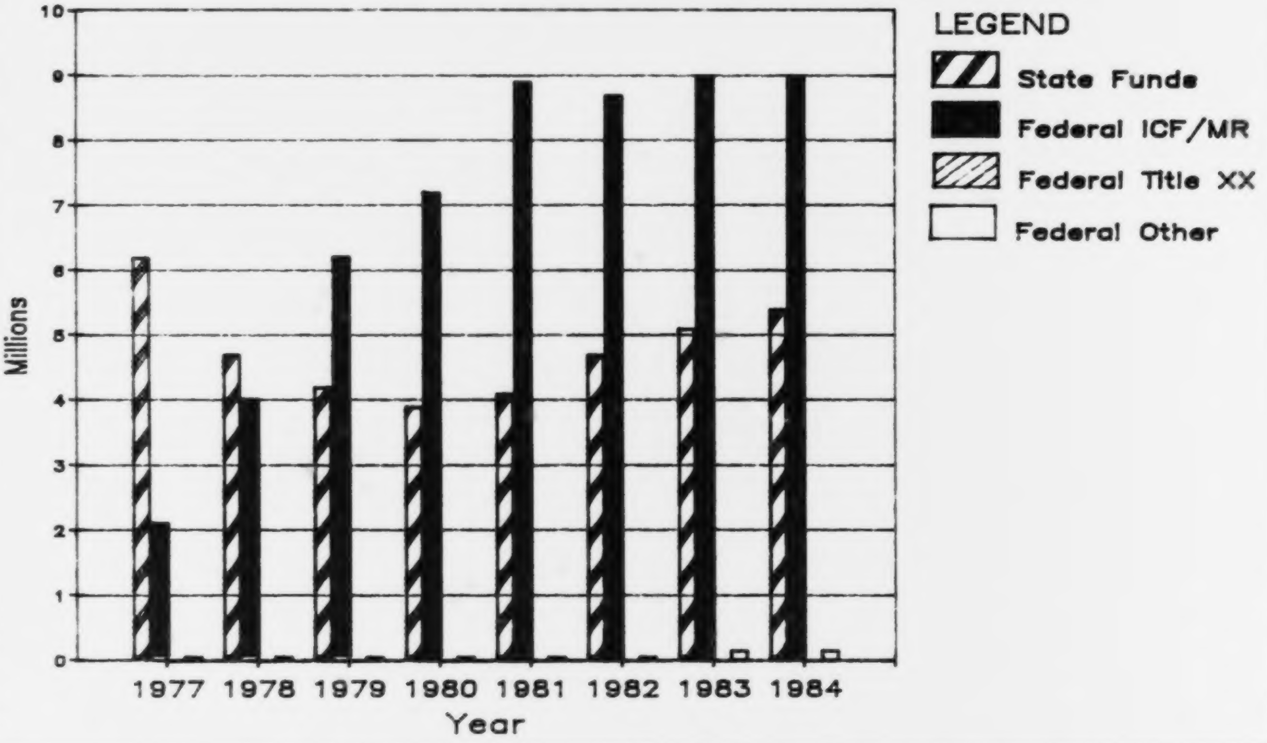
The Total State General Population FY 1977–1984



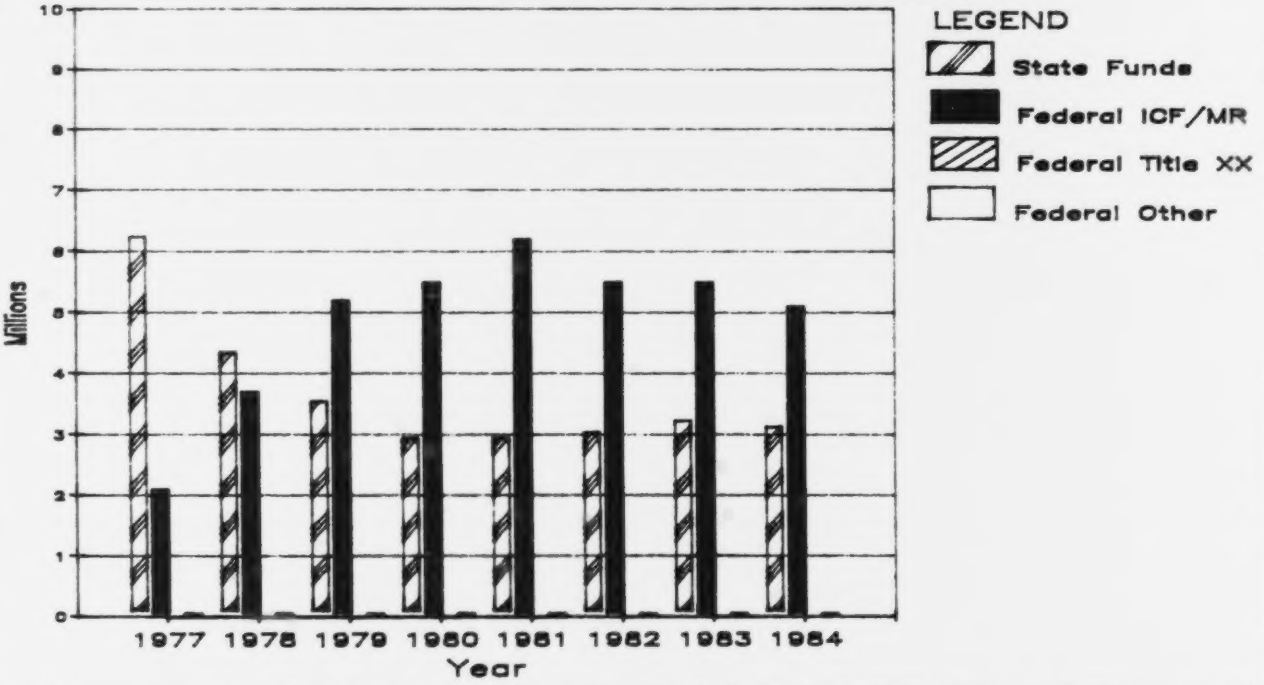
Source: Braddock, Hewes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

SOUTH DAKOTA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



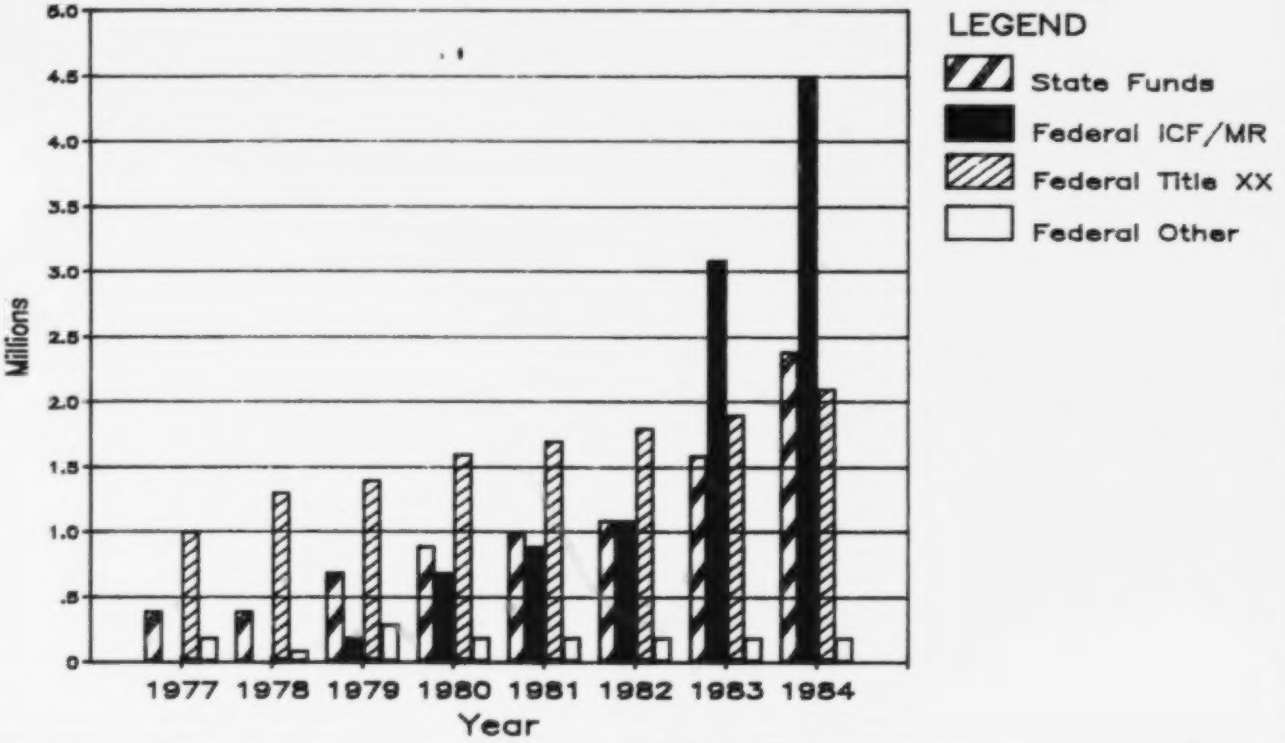
FY 1977–1984, *In 1977 Dollars*



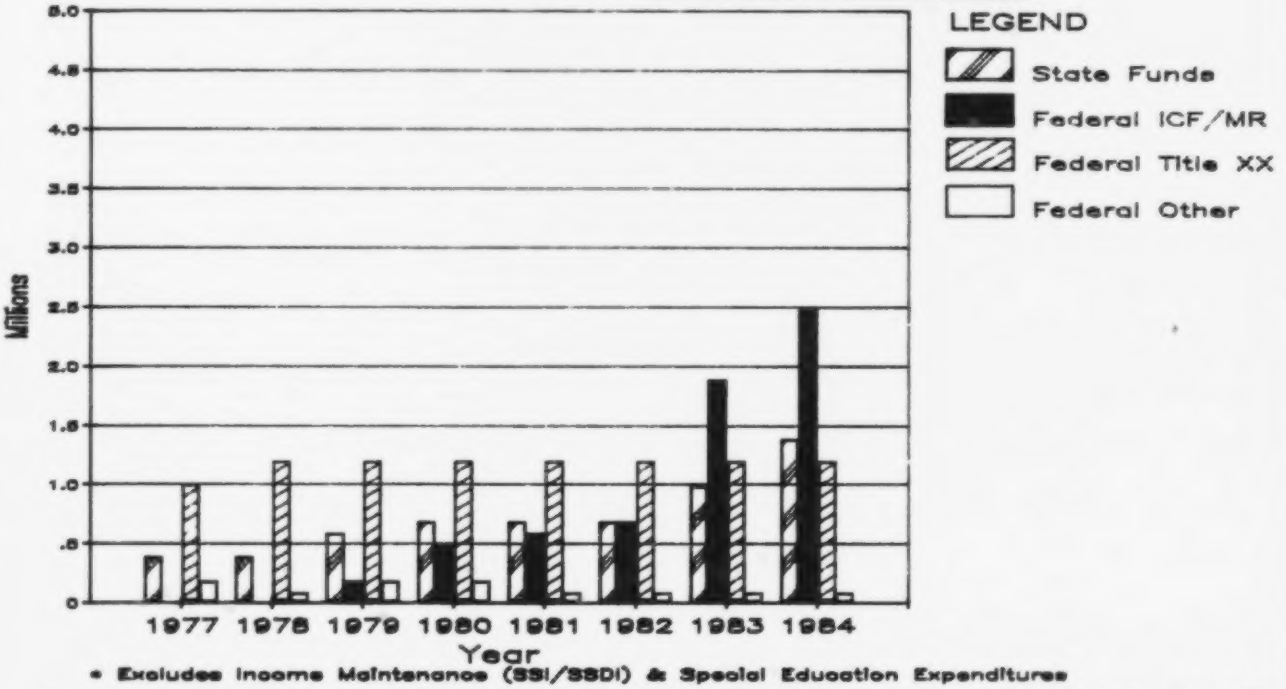
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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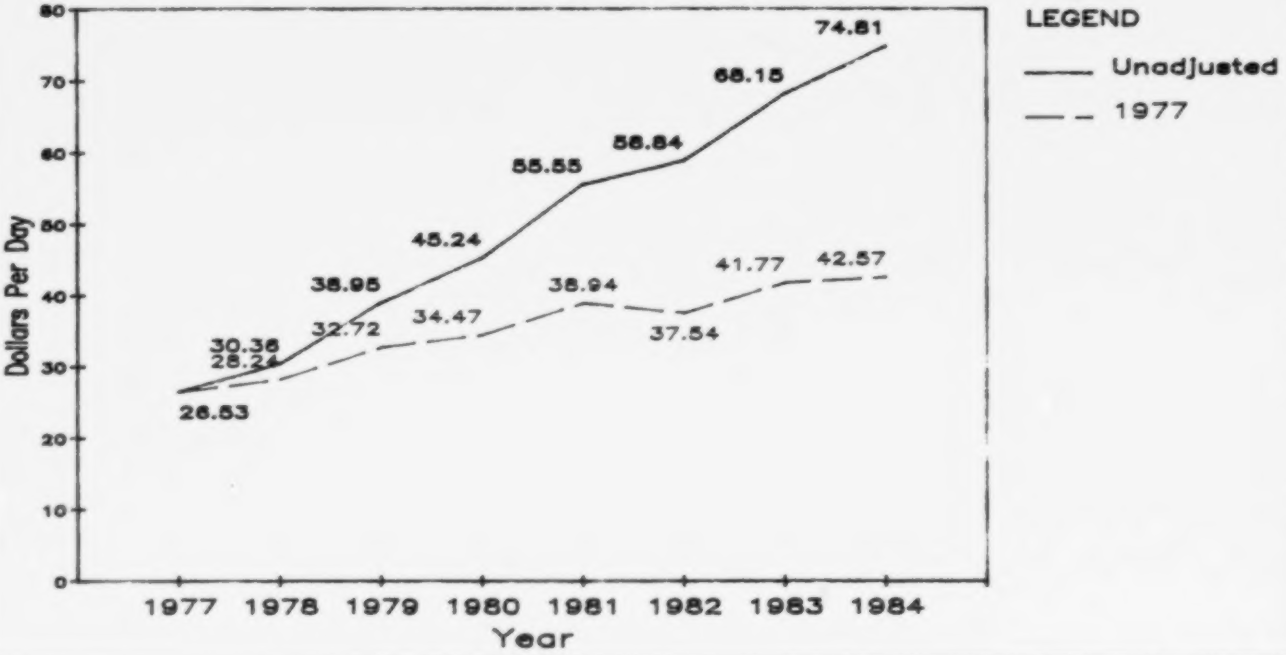
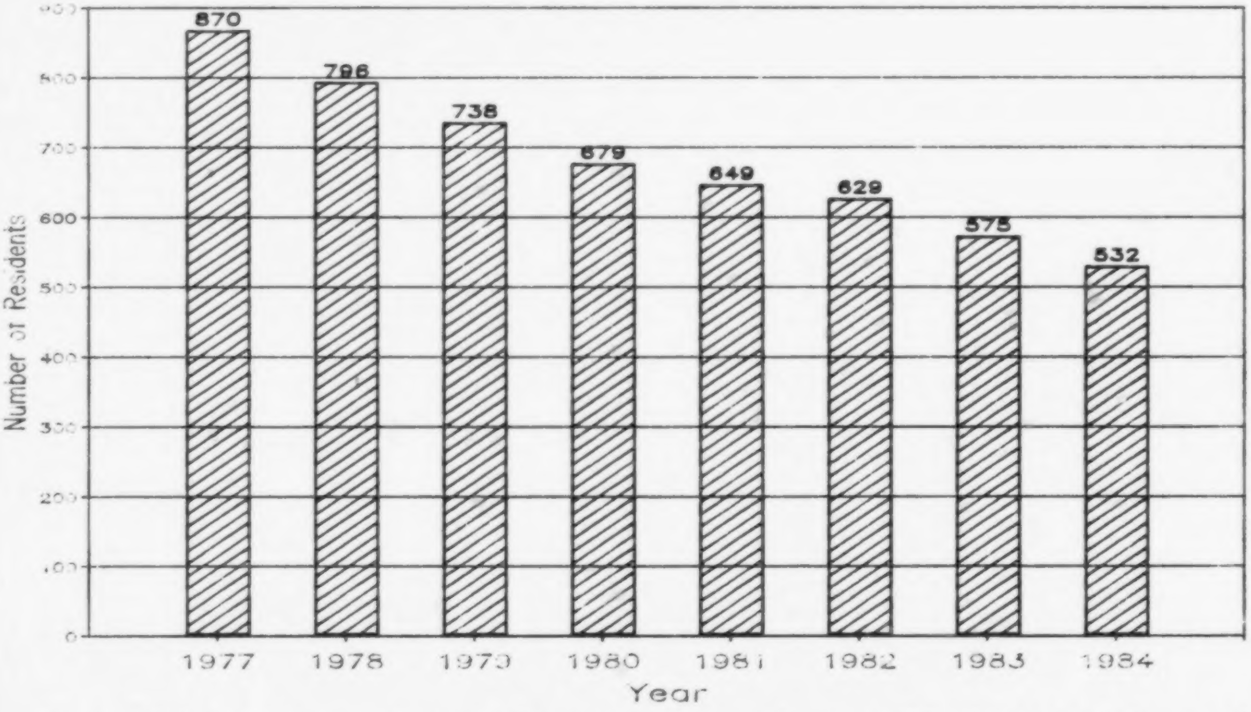
SOUTH DAKOTA

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

SOUTH DAKOTA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: In South Dakota, the two state DD institutions are under the administrative authority of the Board of Charities and Corrections. Community-based services are administered by the Office of DD which is in the Department of Social Services. According to Ed Campbell, Assistant to the Director of the Office of DD (telephone, 8/31/83), there is a special legislative study commission looking into consolidating the community and institutional programs for planning purposes.

2. Budget Format: The sections of the Governor's budget which pertain to DD services are formatted as follows:

   A. Board of Charities & Corrections

      Custer State Hospital
        Funding Source:
          General Funds
          Federal Funds
          Other Funds
          Total
        Expenditure Detail
          Personal Services
          Operating Expenses
          Total
          Administration
          Direct Resident Care
          Therapeutic and Rehabilitation
          Physical Plant
        Redfield State Hospital & School
          (Same funding source subdivisions as above)
          Administration
          Patient Services
          Medical Services
          Educational Unit
          Vocational Unit
          Developmental Living Units
          Physical Plant

   B. Department of Social Services
      D.D. Office
        New Program Development
        Pre-vocational Training
        Community Living Training
        Community Habilitation Services
        Community Training Services
        Community Intermediate Care for DD
        (Same funding sources as above)

3. Note on Data Sources: Actual expenditure figures for Fiscal Years 1977-`83 were obtained from the Governor's Budget documents for FY `80, `83, and `84. FY `84 appropriation figures were obtained from Ed Campbell (Office of DD) for community services, and from the fiscal officers at the two state institutions: Gerald Marlette at Redfield (telephone interview, 9/13/83) and Daryl Simms at Custer (telephone, 9/13/83).

II. INSTITUTIONAL SERVICES

4. Institutional Services include funds for the two state institutions: Custer State Hospital and Redfield State Hospital. Combined average daily population for the two facilities has been:

   1977 - 870
   1978 - 796
   1979 - 738
   1980 - 679
   1981 - 649
   1982 - 629
   1983 - 575
   1984 - 532

   (Source: Medical Records Offices at the two facilities, telephone interviews, 6/26/84.)

5. State General Fund: The state matching share of Title XIX funds is included in the State Funds category of our analysis.

6. Other State Funds are labeled simply "Other" in the Governor's Budget. They represent private pay, insurance payments and other patient receipts.

7. Title XIX. In the state Budget, Title XIX as well as any other federal funds are lumped together under the label "Federal Funds." The Fiscal Officers at the two facilities (telephone, 9/13/83), provided estimates of the portion of the federal funds representing School Lunch and Title I education monies. These funds, which are included in our analysis as Other Federal Funds, were subtracted from the total "Federal Funds." The remainder was then recorded in our analysis as Federal Title XIX funds.

8. Other Federal Funds are School Lunch and ESEA Title I monies.

III. COMMUNITY SERVICES

9. Community Services include the following lines from the State Budget: "New Program Development," "Pre-vocational Training," and "Community Living Training" (these appeared from FY `77 -`79 only); "Community Habilitation Services" (this is the Medicaid Waiver which appears only in FY `83 and `84); and "Community Training Services" (which appears in FY `80 - `84 only).

   The figures in our analysis do not include local funds from the local school districts, Vocational Rehabilitation funds, SSI, nor sales revenue from the sheltered workshops and other community programs. Campbell said that these sources account for about 42% of the entire community services budget (letter, 2/6/84). Campbell was able to provide local expenditure figures for 1983 and 1984, but not for prior years. Local funds by definition are not included in our analysis, except where noted as part of the state matching dollars for private community ICF/MRs or Title XX.

10. Other State Funds are locally generated as part of the Title XX state match (Ed Campbell, telephone, 8/31/83). The remaining state matching funds are in our State General Fund line. Also included in this line is $234,000 in 1983 and $622,000 in 1984 as local match for Title XIX Waiver services.

11. Title XIX. The Title XIX funds in FY `83 and `84 are for the Medicaid Waiver which is termed "Community Habilitation Services" in the Budget. There are no state-run community-based ICF/MRs.

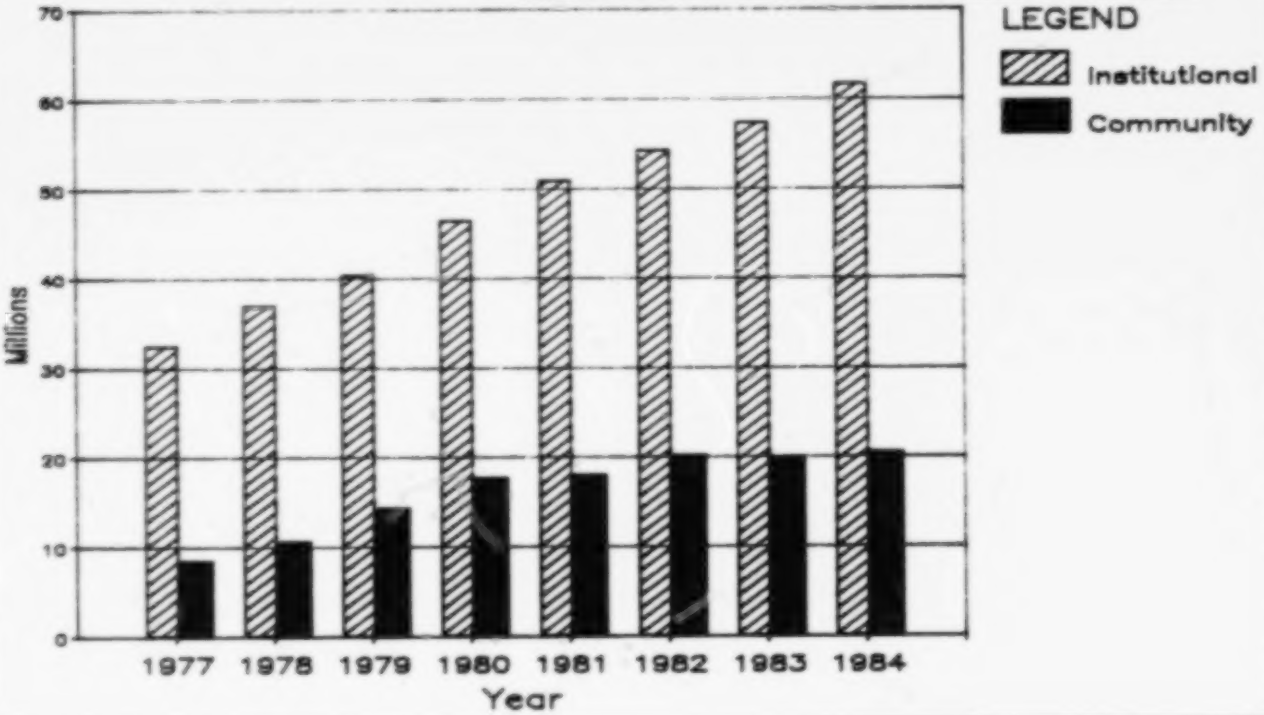
12. Title XX. Federal Title XX funds are recorded under "Federal Funds" in the State Budget under the "Pre-vocational Training" and "Community Living Training" programs from FY `77-`79. These funds are reported in the "Community Training Services" program element from FY `80-`84.

13. Other Federal Funds are DDSA and Protection and Advocacy program funds.

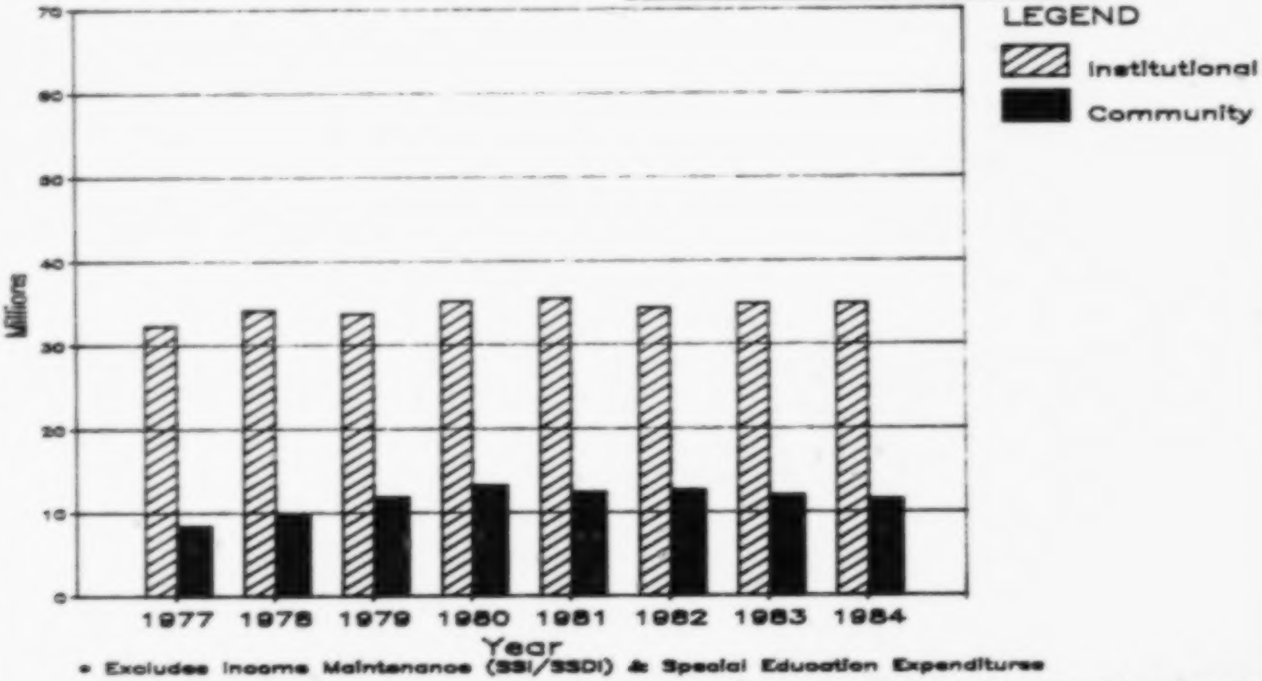
14. Private ICF/MR. According to Ed Campbell, there are 11 privately-run community ICF/MRs. These expenditures are reported as part of the Office of DD's budget, entitled, "Communtly ICF/MR" program. Starting in FY `83, part of the state match for Title XIX came from local sources: $127,000 in FY `83 and $148,000 in FY `84. These amounts are included in our total private ICF/MR figures. However, tuition monies paid by local school districts directly to the community ICF/MRs for special education services are not included in our Private ICF/MR totals. These tuition payments amounted to $79,000 and $103,000 in FY `83 and `84, respectively.

TENNESSEE
STATE PROFILE

TENNESSEE
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

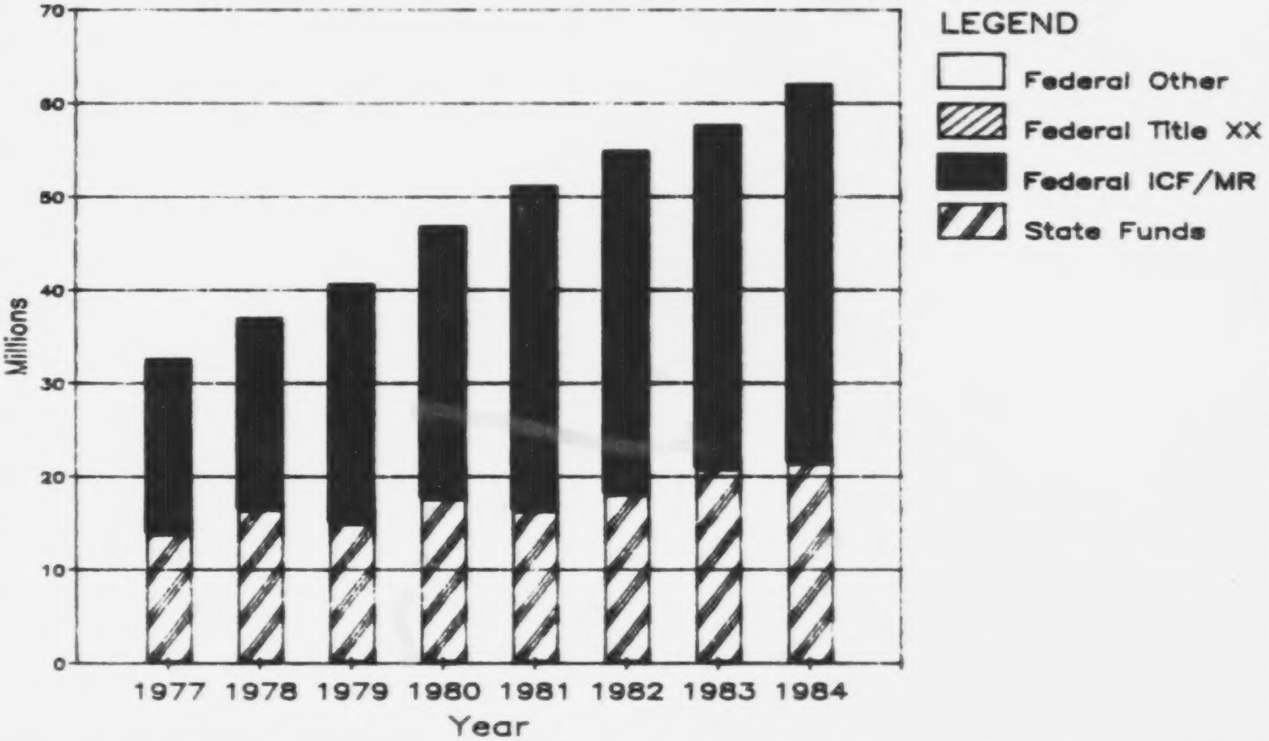


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

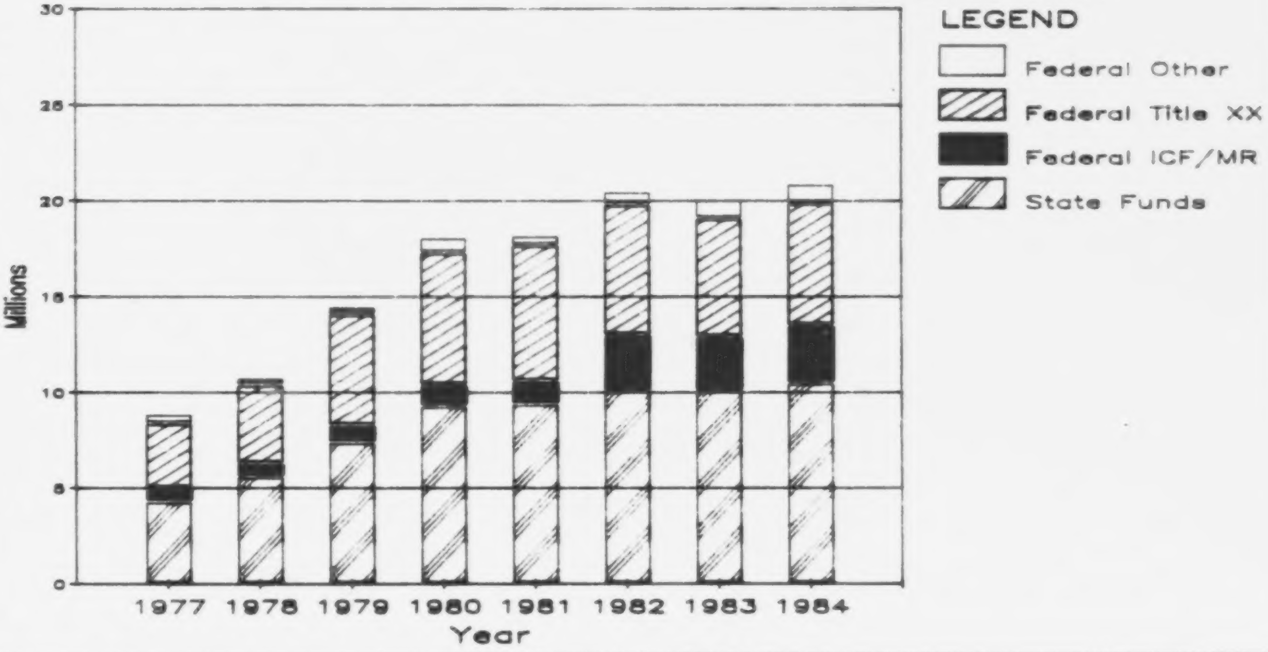
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

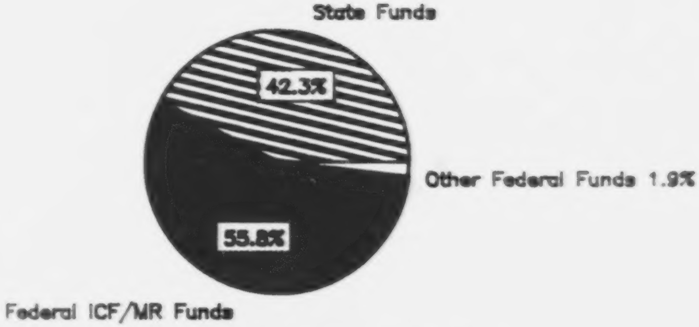
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



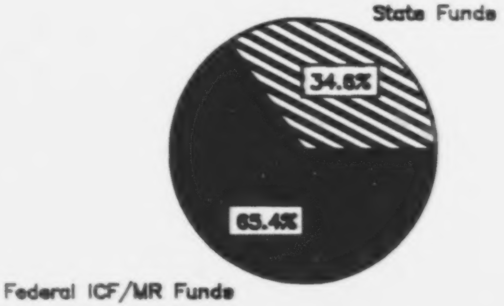
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



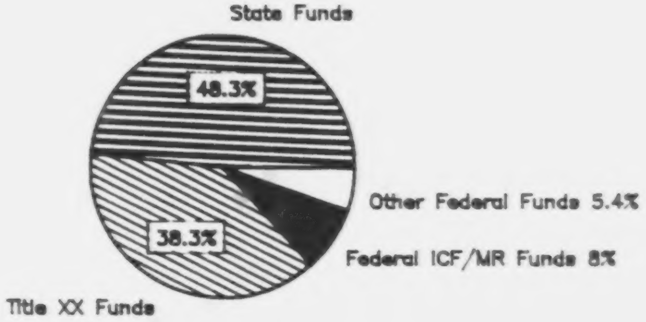
TENNESSEE
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



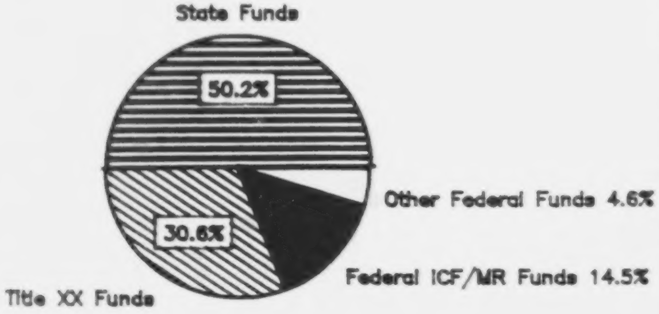
Institutional: 1977 Total Funds—$32.8 Million



Institutional: 1984 Total Funds—$82.1 Million



Community: 1977 Total Funds—$8.8 Million

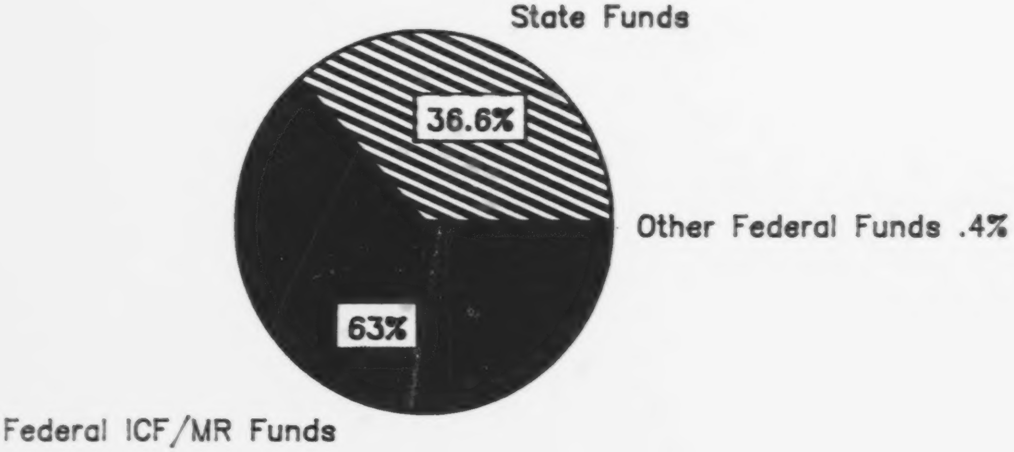


Community: 1984 Total Funds—$20.9 Million

* Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo., 1984

TENNESSEE
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977-1984

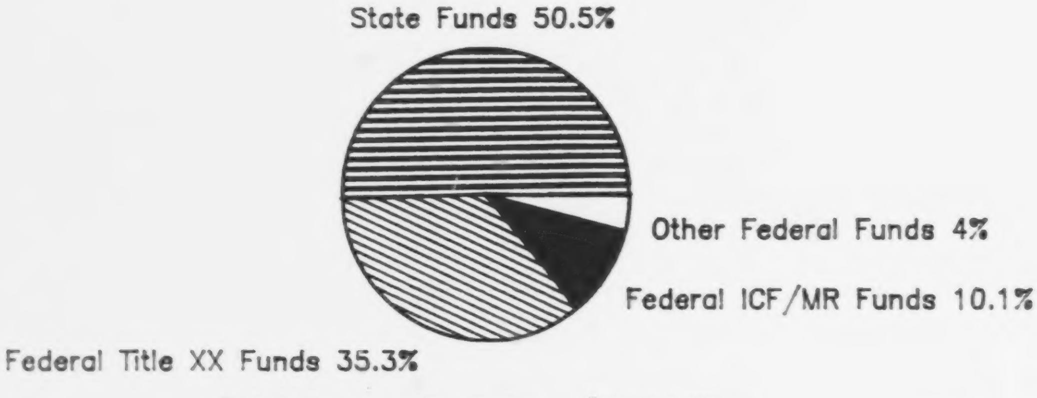
Institutional Services Funds



Total Institutional Dollars: $384 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

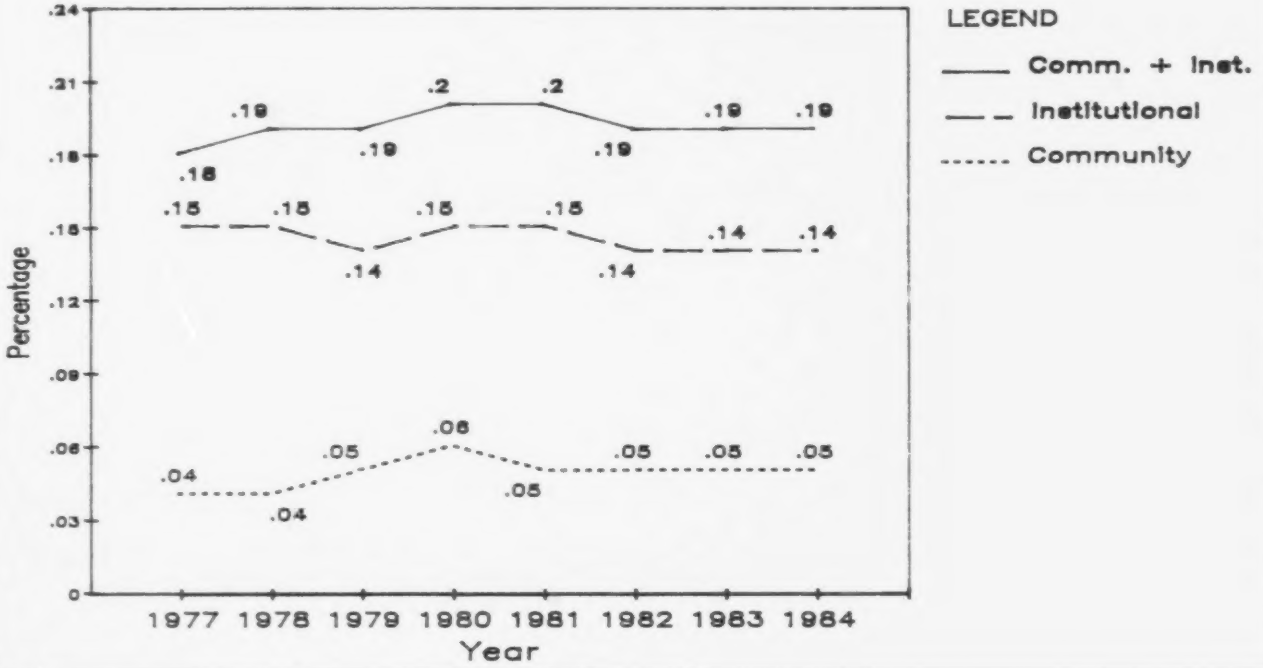


Total Community Dollars: $133 Million

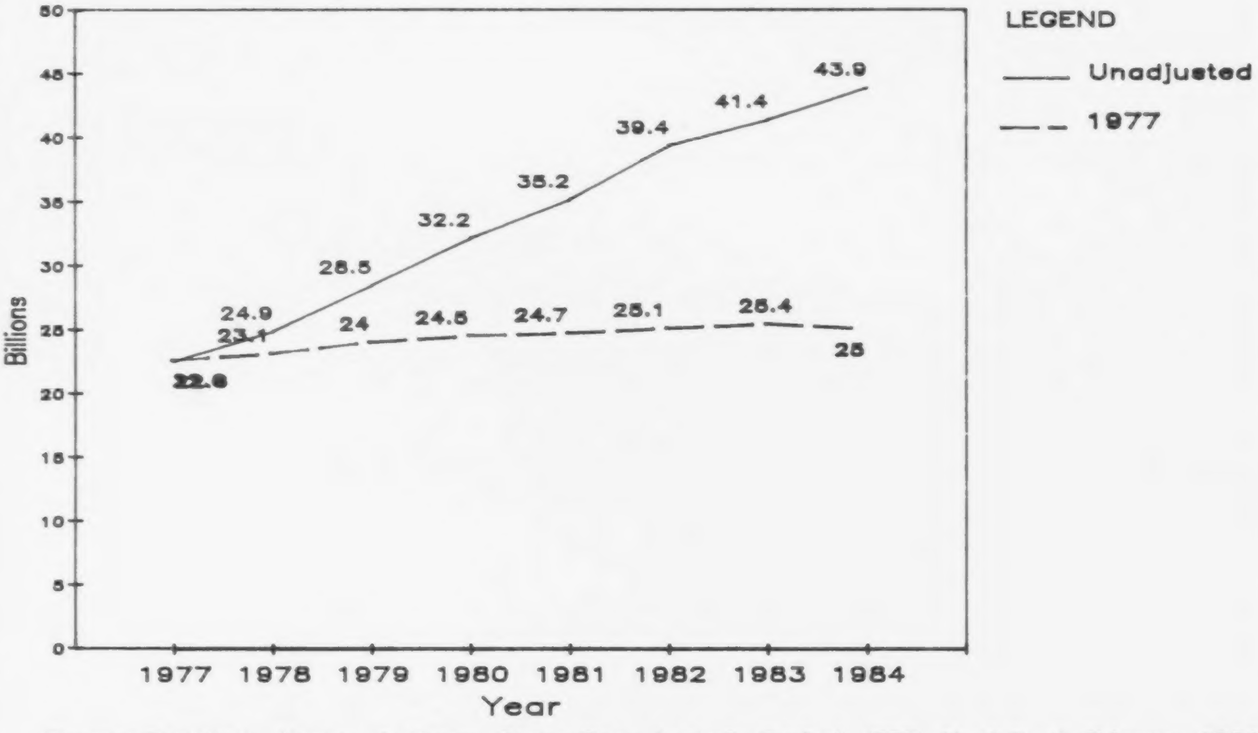
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



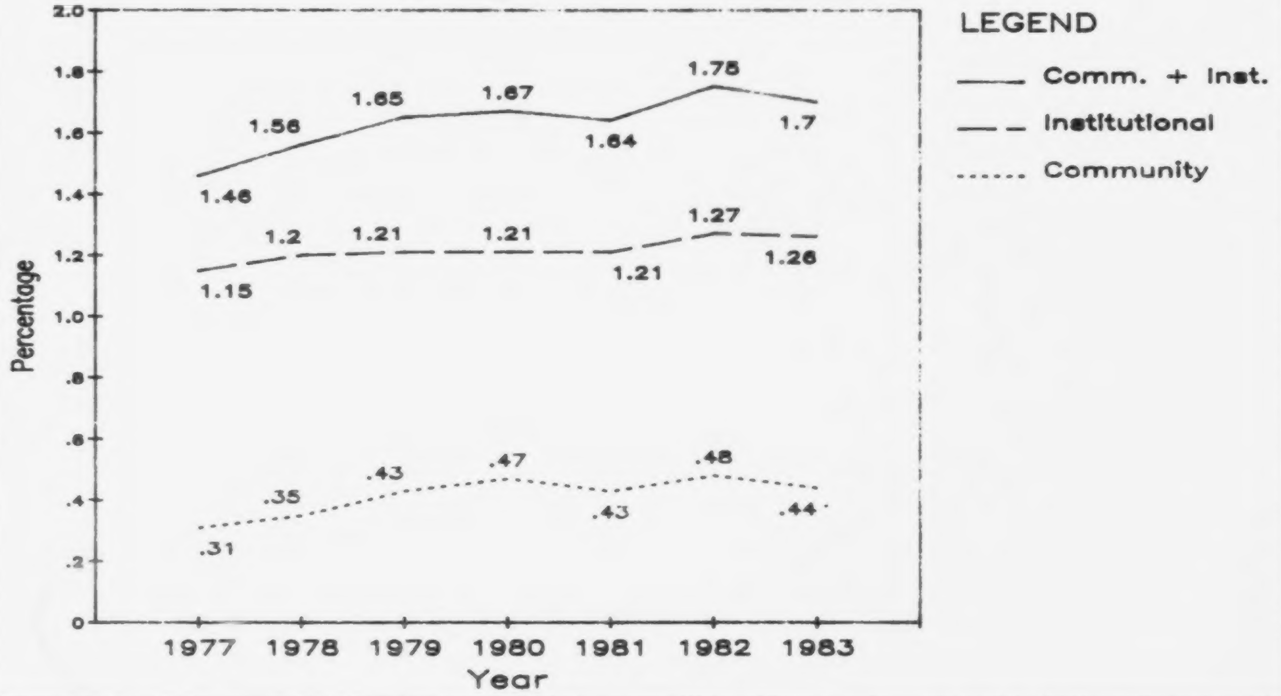
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



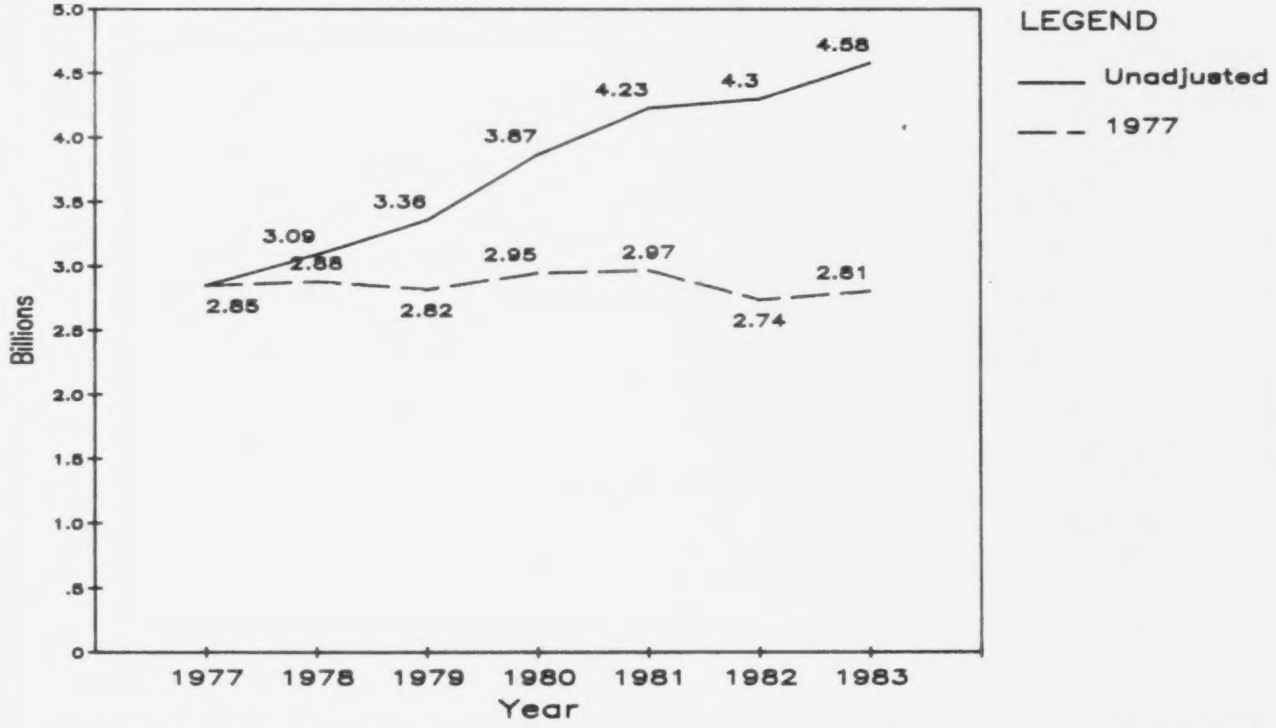
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



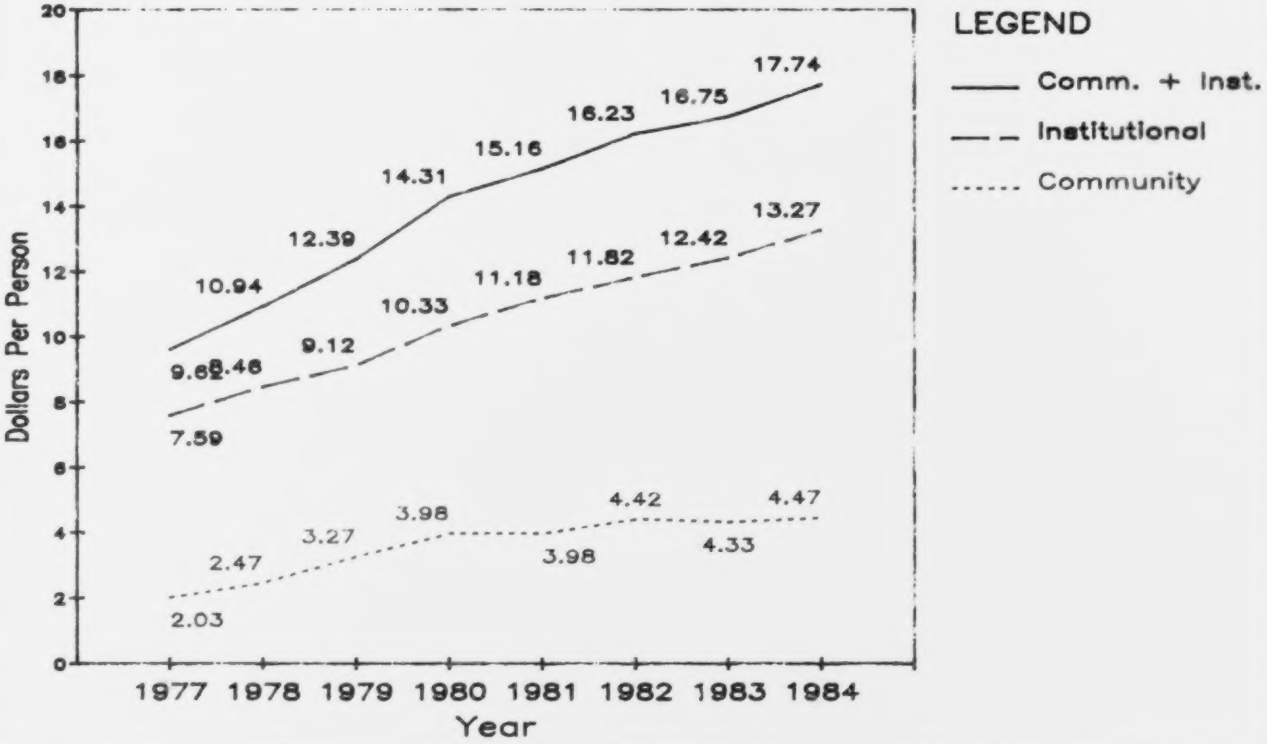
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



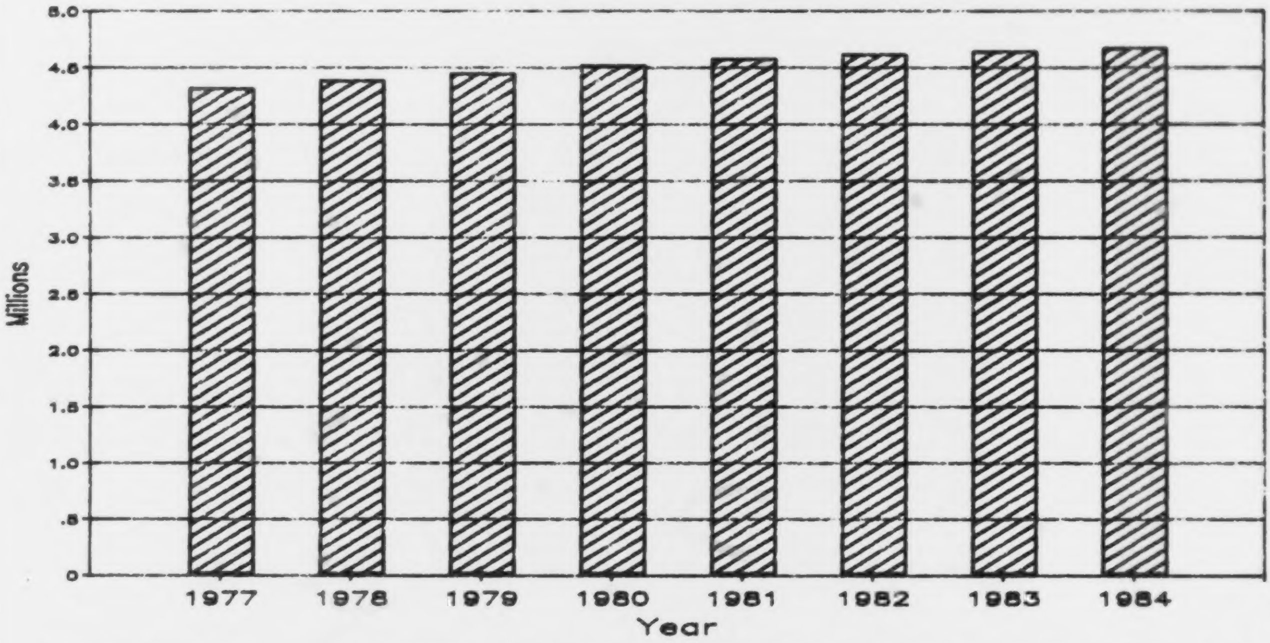
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



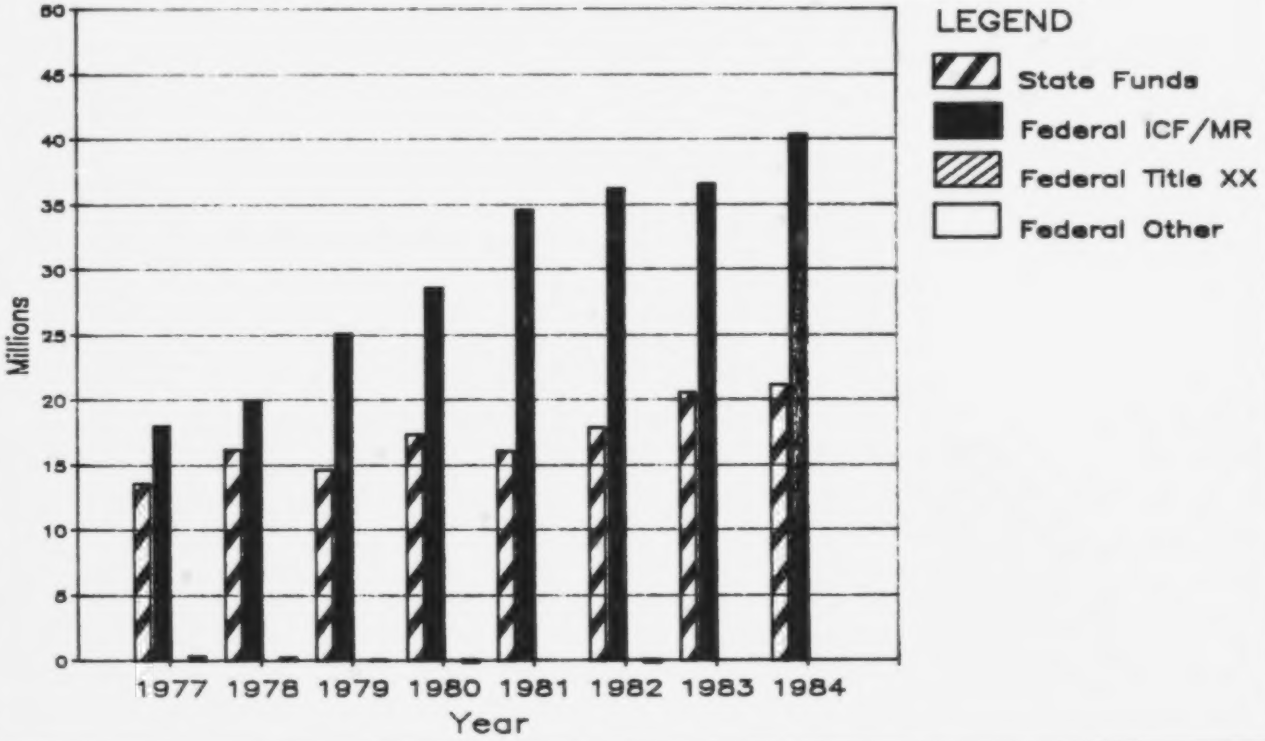
The Total State General Population FY 1977–1984



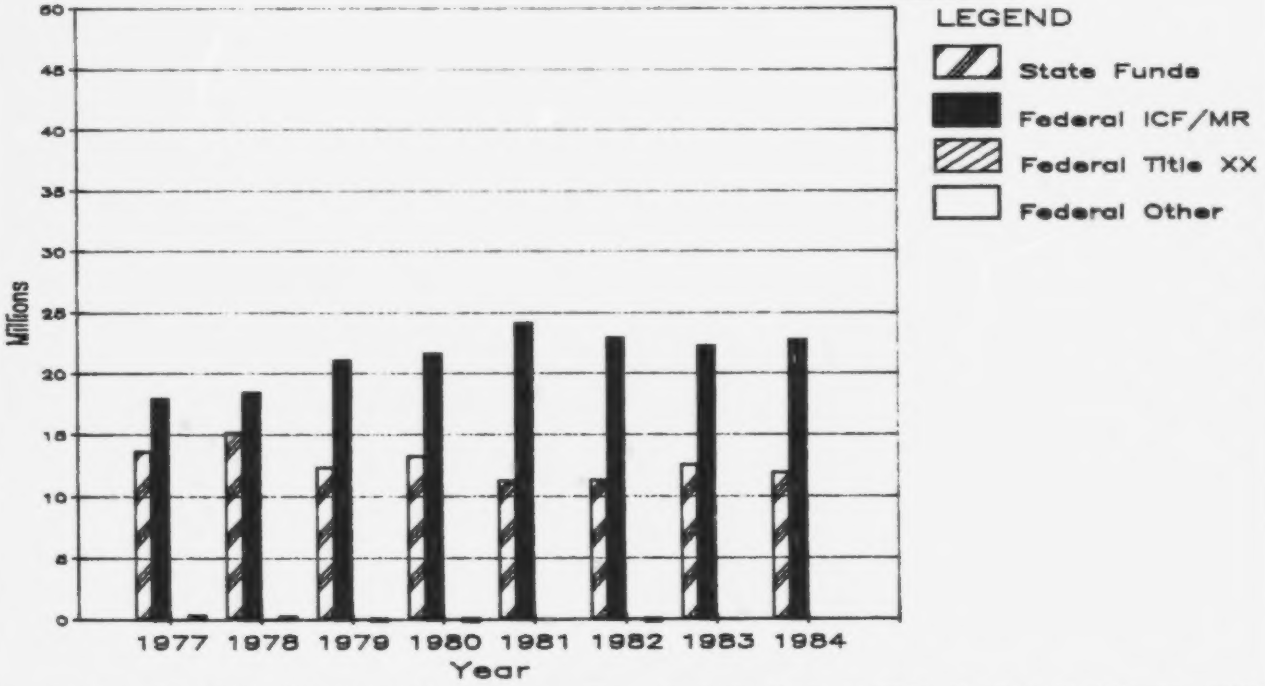
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

TENNESSEE

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



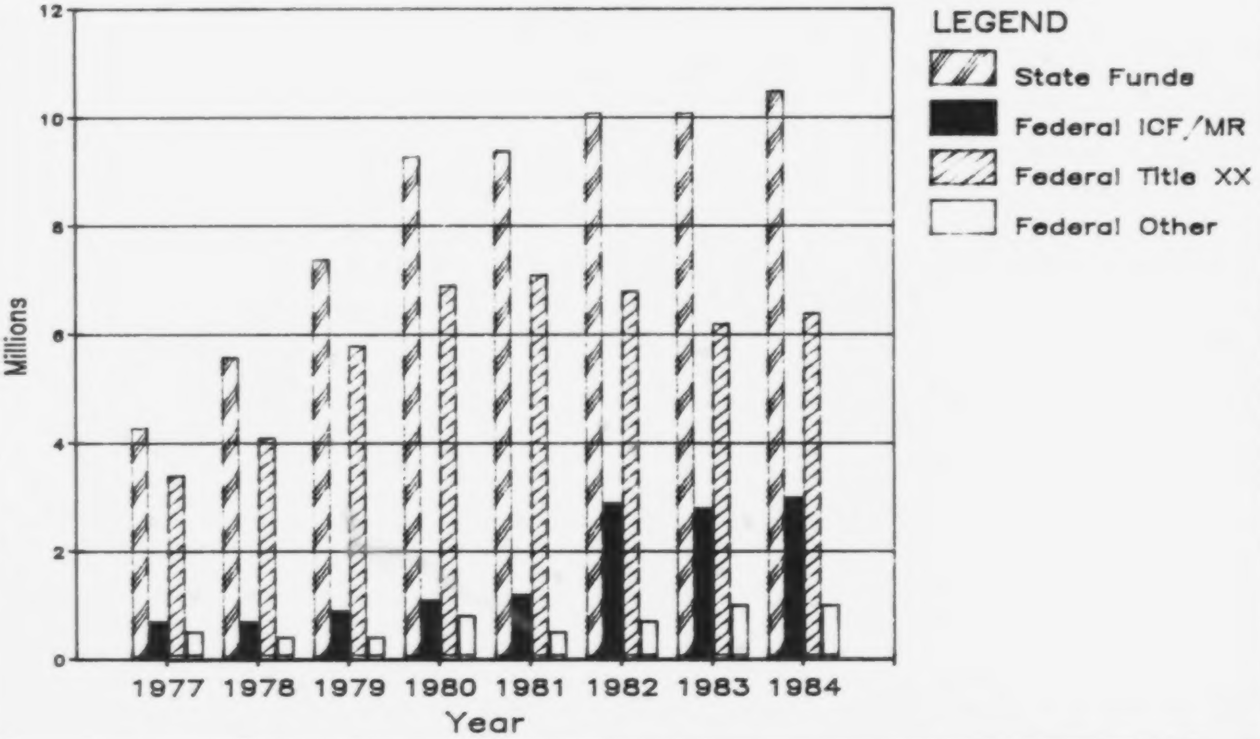
FY 1977–1984, ***In 1977 Dollars***



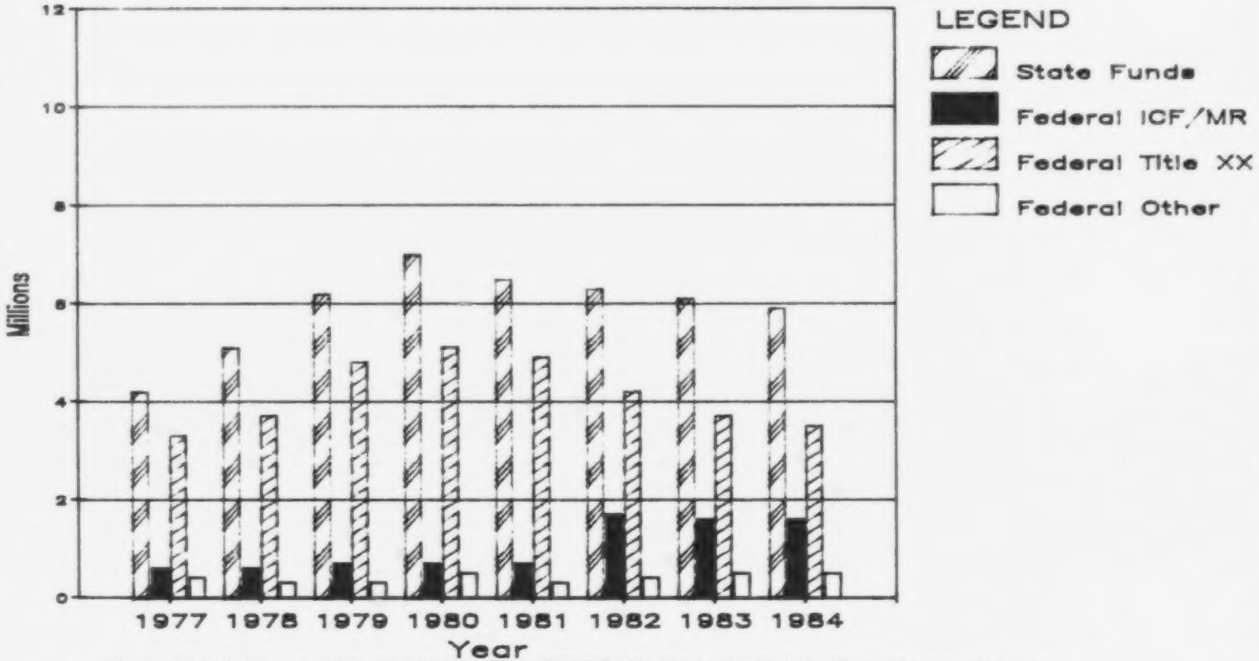
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



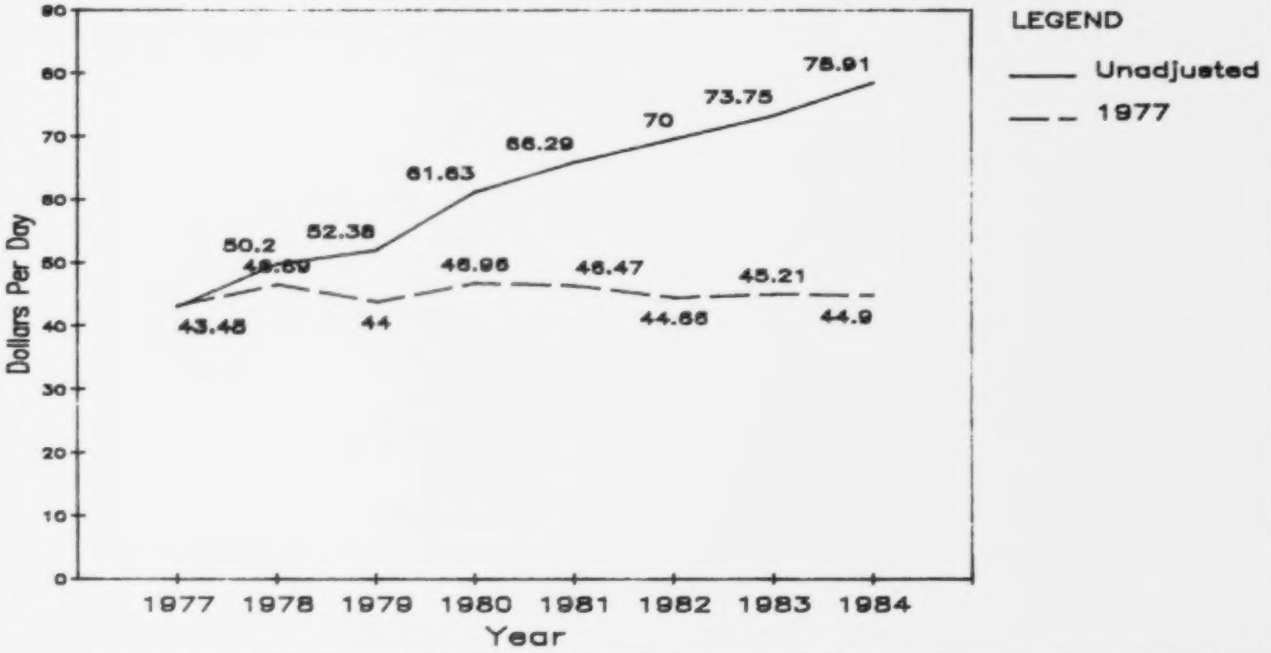
FY 1977–1984, *In 1977 Dollars*



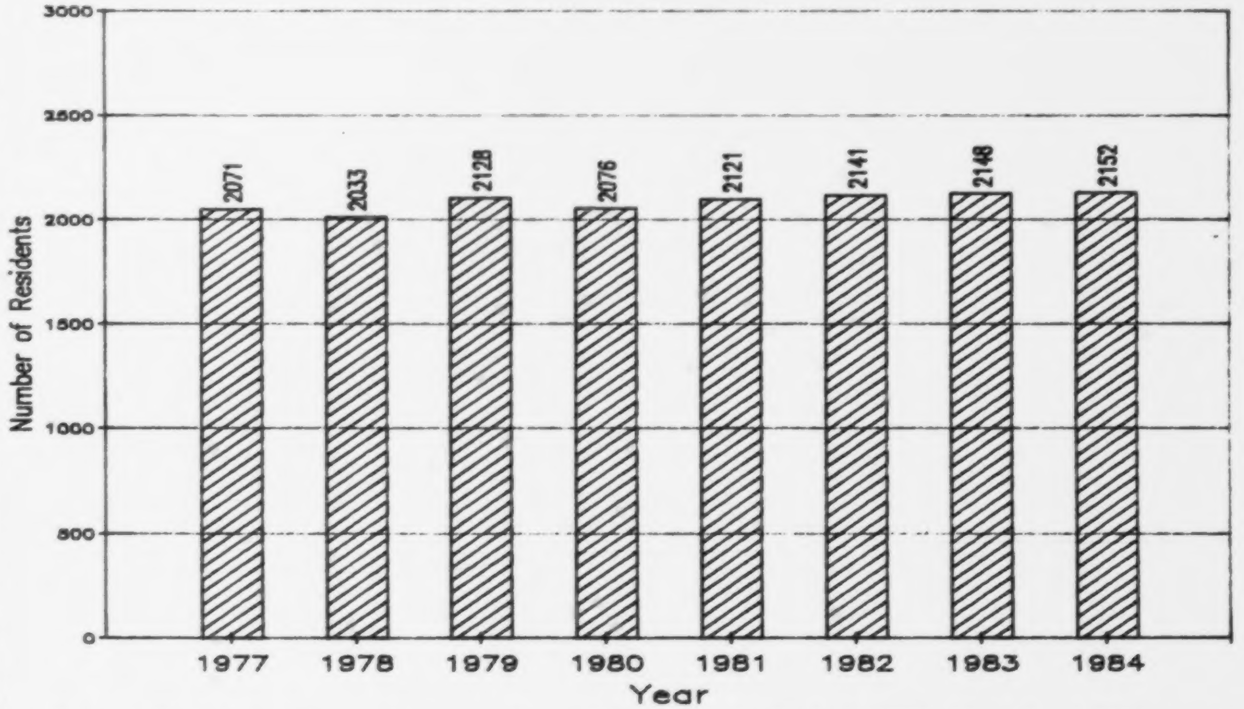
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TENNESSEE

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services are administered by the Assistant Commissioner for Mental Retardation Services in the Department of Mental Health and Mental Retardation. The Assistant Commissioner for Mental Retardation's Office has the following subdivisions: (1) MR Administration; (2) Community MR; and (3) a separate budget for each MR institution. Our analysis excludes the central state office administrative expenditures.

2. Budget Format: The budget format for mental retardation, which follows, remained the same over the eight year period of our study.

Department of Mental Health & Mental Retardation
- Mental Retardation Services
  - 1. Mental Retardation Administration
    - Personnel
    - Expenditures
      - Personal Services
      - Operational Expenses
      - Total
    - Funding
      - Appropriation
      - Federal
      - Other
  - 2. Community Mental Retardation
    - (Same subdivisions as above)
  - Developmental Centers
  - 3. Arlington Developmental Center
  - 4. Clover Bottom Developmental Center
  - 5. Greene Valley Developmental Center
  - 6. Nat T. Winston Developmental Center
  - 7. Mental Retardation Secure Facility
    - (Same subdivisions as above under each facility)
- Departmental Totals

3. Note on Data Sources: Actual expenditure figures for FY \`77-\`83 were obtained from the FY \`79, \`80, \`81, \`82, \`83, and \`84 State Budgets. The Legislature\`s 1984 appropriation was only 3% less than the Governor's recommendation for MR Services; however, the FY 1984 Appropriations Act presents state funds only. Our analysis therefore utilized the Governor's recommendation budget figures for FY 1984, in order to determine the revenue sources other than state funds.

II. INSTITUTIONAL SERVICES

4. Institutional Services funds include support for Arlington, Clover Bottom, and Greene Valley Developmental Centers, Nat T. Winston Developmental Center (a small facility for MR clients who are also Mentally Ill), and the "MR Secure Facility" (formerly called the "Mentally Retarded Offender Program." The aggregated average daily census at the facilities has been:

1977 - 2,071
1978 - 2,033
1979 - 2,128
1980 - 2,076
1981 - 2,121
1982 - 2,141
1983 - 2,148
1984 - 2,152

(Source: Budget documents)

5. State General Funds. In the State Budget, General Funds (GF) are labeled "Appropriation." The increase each year in total institutional expenditures is due mainly to increases in the minimum wage and to inflation of fixed costs like food and fuel, according to Jim Barnes, Budget Officer, DMHMR (telephone interview, 8/25/84).

6. Other State Funds are the state share of Title XIX ICF/MR funds. In the State Budget, Title XIX is labeled "Other" and includes both the state and federal shares. In our analysis the state and federal portions are separately identified.

7. Other Federal Funds were those labeled "Federal" in the state Budget, and are essentially unrecorded after FY 1980. Title I (ESEA), Title IV-B of the Social Security Act, and ESEA Title VI-C funds are still received by the institutions. However, these funds are budgeted through other Tennessee state agency budgets. For FY 1981-`84, they are included in the Other State Funds category in our analysis.

III. COMMUNITY SERVICES

8. Community Services refers to the "Community MR" program in the State Budget.

9. Other State Funds are state monies budgeted by and transferred from the Department of Health and Environment for pre-school screening and other activities relating to the Governor's Task Force on Prevention, according to Mr. Jim Barnes, DMHMR Budget Office, (telephone interview, 9/14/83).

10. Title XIX. In 1981, the first community agency program began receiving Title XIX "15 beds or less" funding. There are now two programs. The match for these programs is included in the State General Funds category. (Figures provided by James Foshee, Assistant Commissioner, MR Services, letter, 2/1/84).

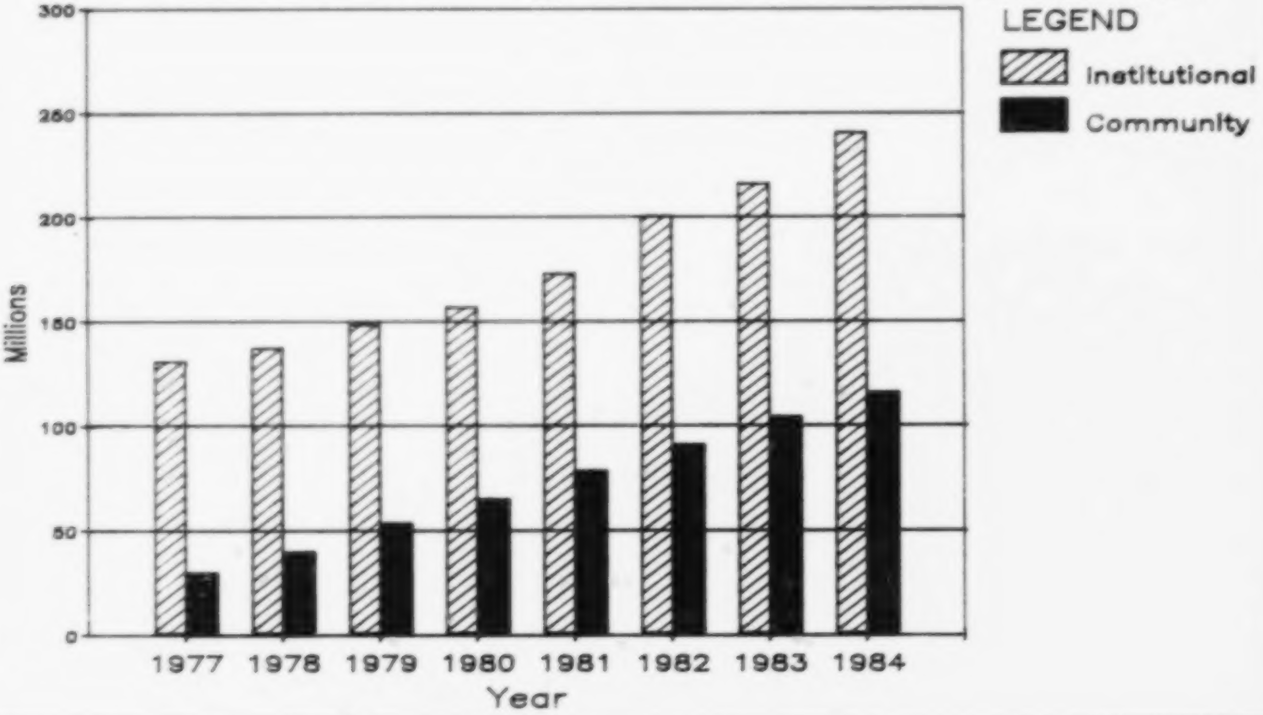
11. Title XX. Tennessee uses Title XX Block Grant funds for financing community services. The federal share of Title XX is budgeted in the Department of Human Services (DHS), which contracts directly with providers. The MR Services Division pays DHS 75% of the 25% state share of Title XX matching funds. This sum is included in the State General Funds category of our analysis. Federal Title XX funds in our analysis are estimates from Jim Barnes (telephone, 9/14/83). The imputed estimates are based on the MR Services Division's 1984 Title XX contract with DHS. That contract amount ($1,603,000, which is 75% of the state share) represented 18.75% of the total Title XX program in 1984. Using this index, Barnes imputed federal share Title XX for MR figures for each of the other seven years of our analysis.

12. Other Federal Funds are primarily Developmental Disabilities Act funds.

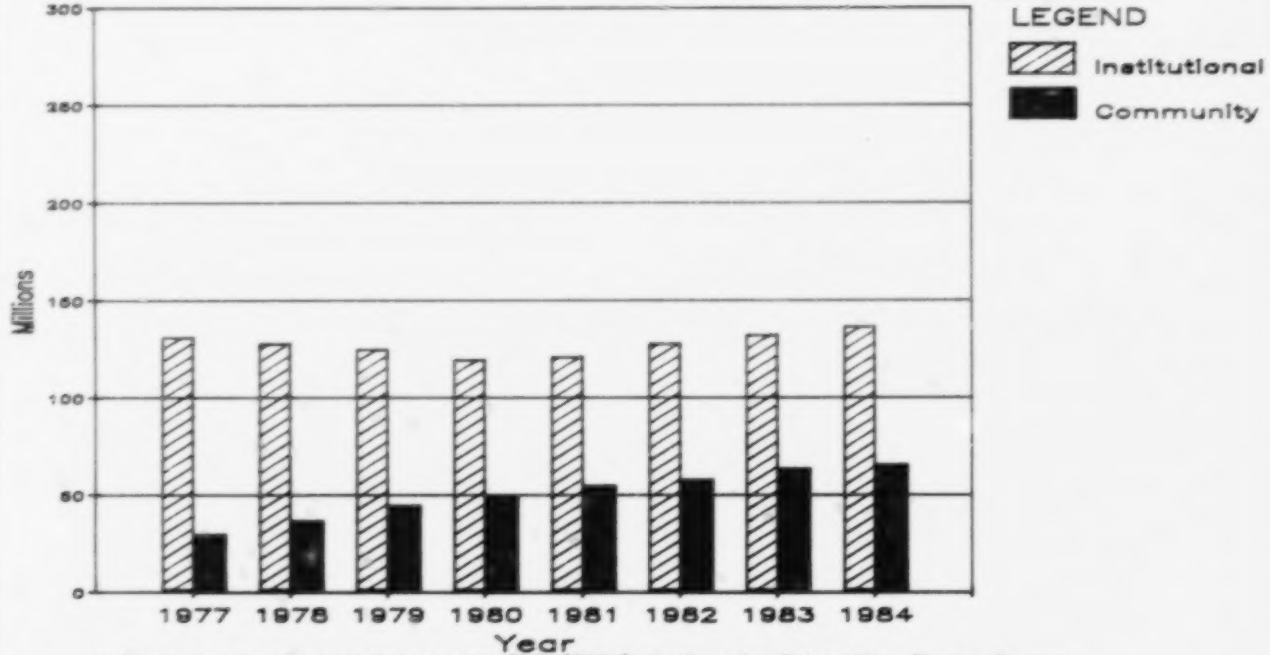
13. Private ICF/MR expenditure reporting is combined with General ICF reporting in Tennessee's accounting system between 1977-`80. Therefore, it is difficult to determine exact expenditure figures. Our FY `81-`83 data are actual expenditures provided by Doris Honeycut, Department of Public Health (telephone, 8/26/83). The `84 figure is a linear projection, allowing for a 5% inflationary increase. Honeycut also provided estimated amounts for FY `77-`80. The estimates are based on the fact that private ICF/MRs make up 1% of all of Tennessee's General ICF reimbursement from `81-`83. We assumed that 1% of total General ICF expenditures for FY 1977-`80 would be a reasonable estimate of the FY 1977-`80 private ICF/MR funds. General ICF expenditure figures also were provided by Honeycut.

TEXAS
STATE PROFILE

TEXAS
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

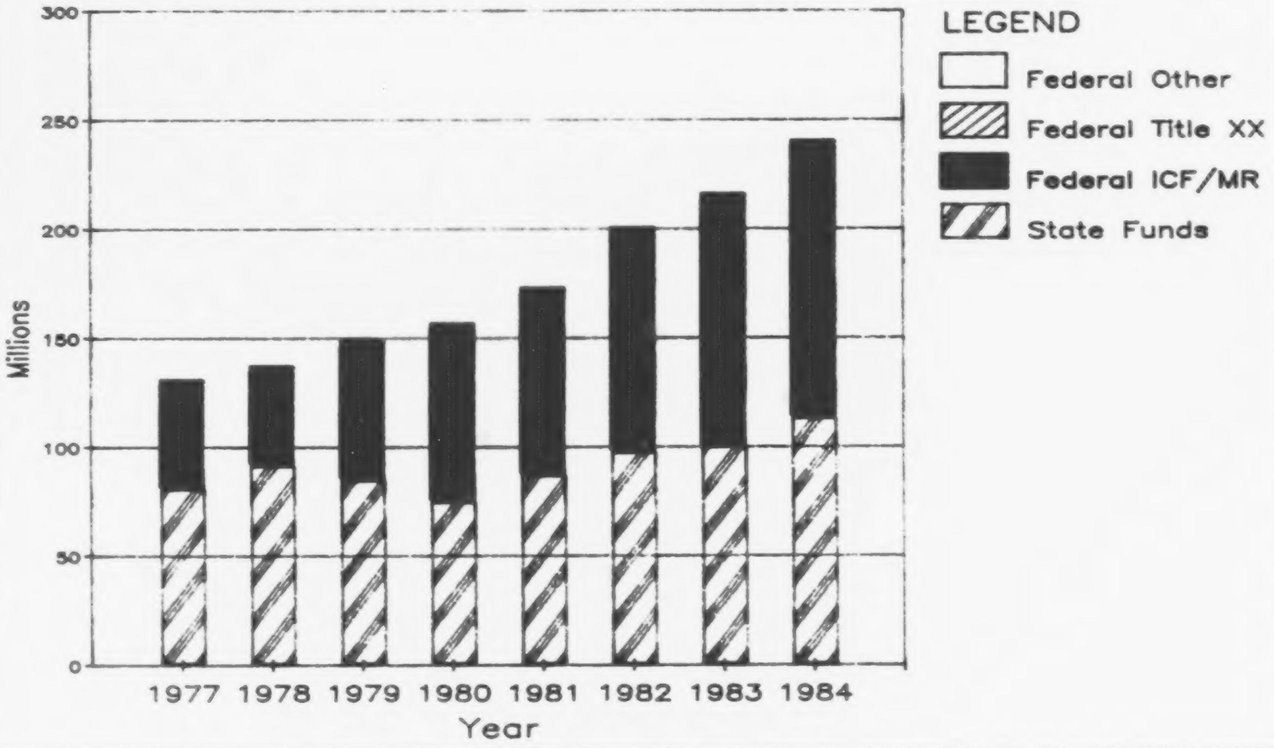


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

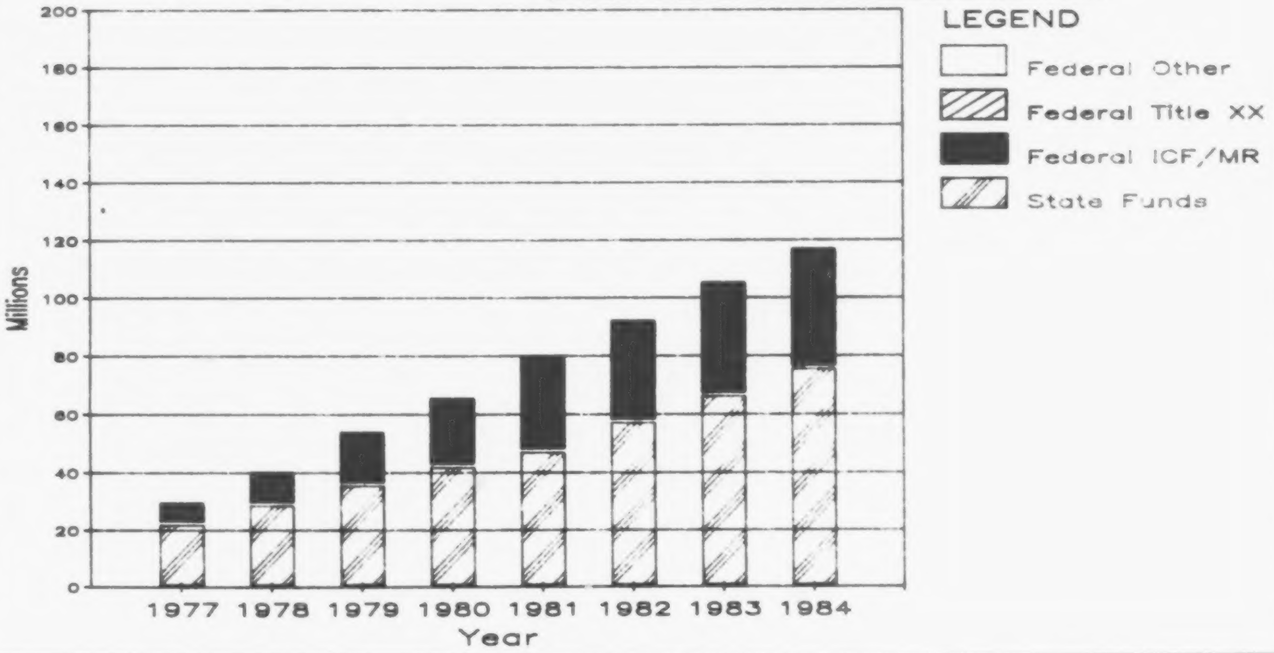
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

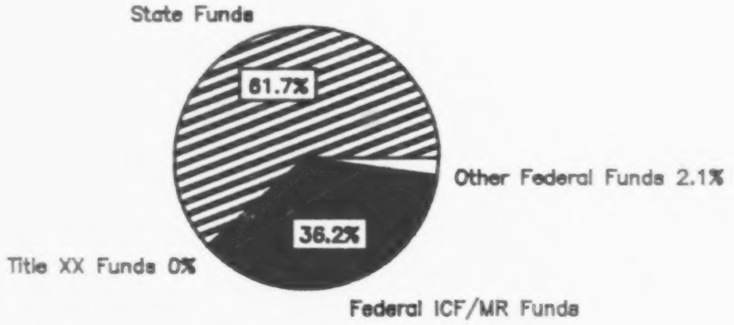


MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

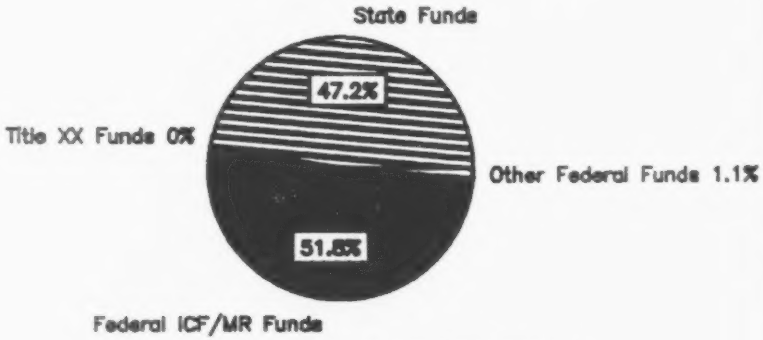


TEXAS

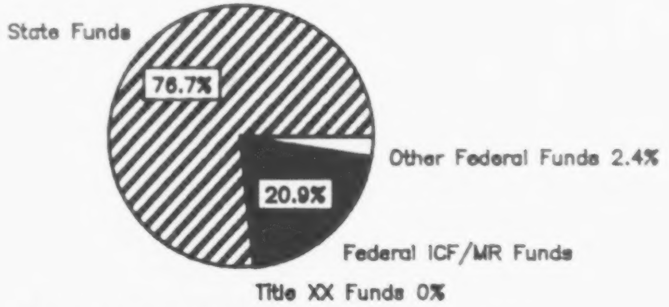
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



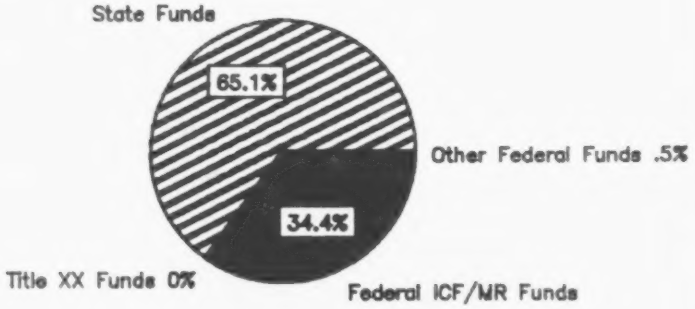
Institutional 1977 Total Funds—$132 Million



Institutional 1984 Total Funds—$242 Million



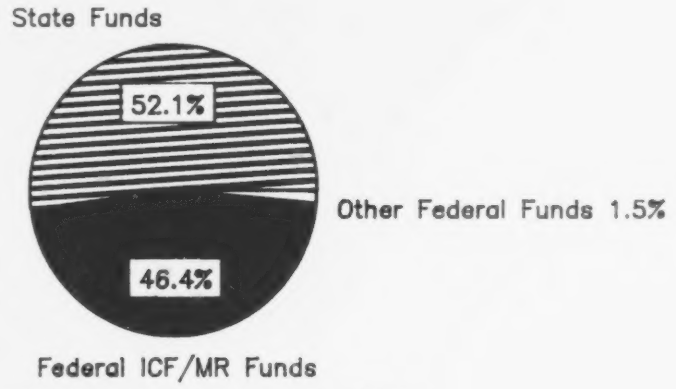
Community 1977 Total Funds—$30.5 Million



Community 1984 Total Funds—$117 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

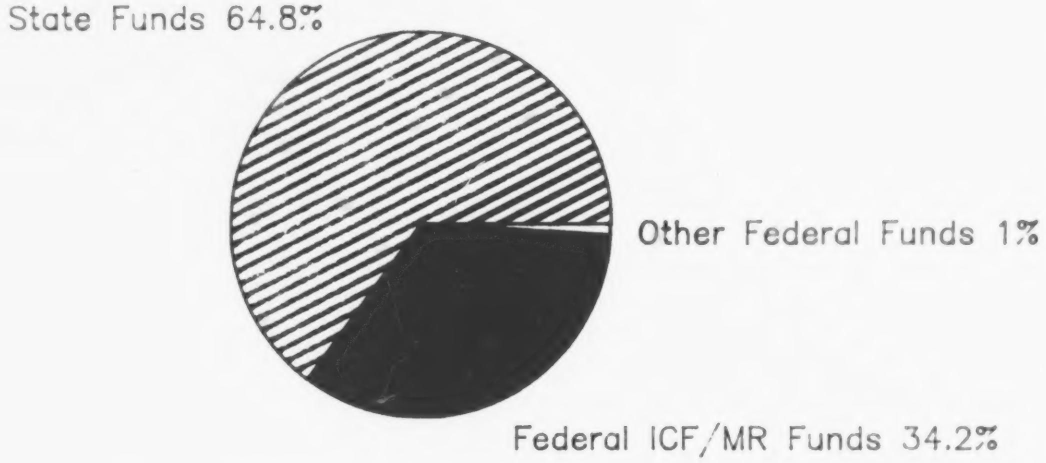
TEXAS
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Funds: 1.412 Billion

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

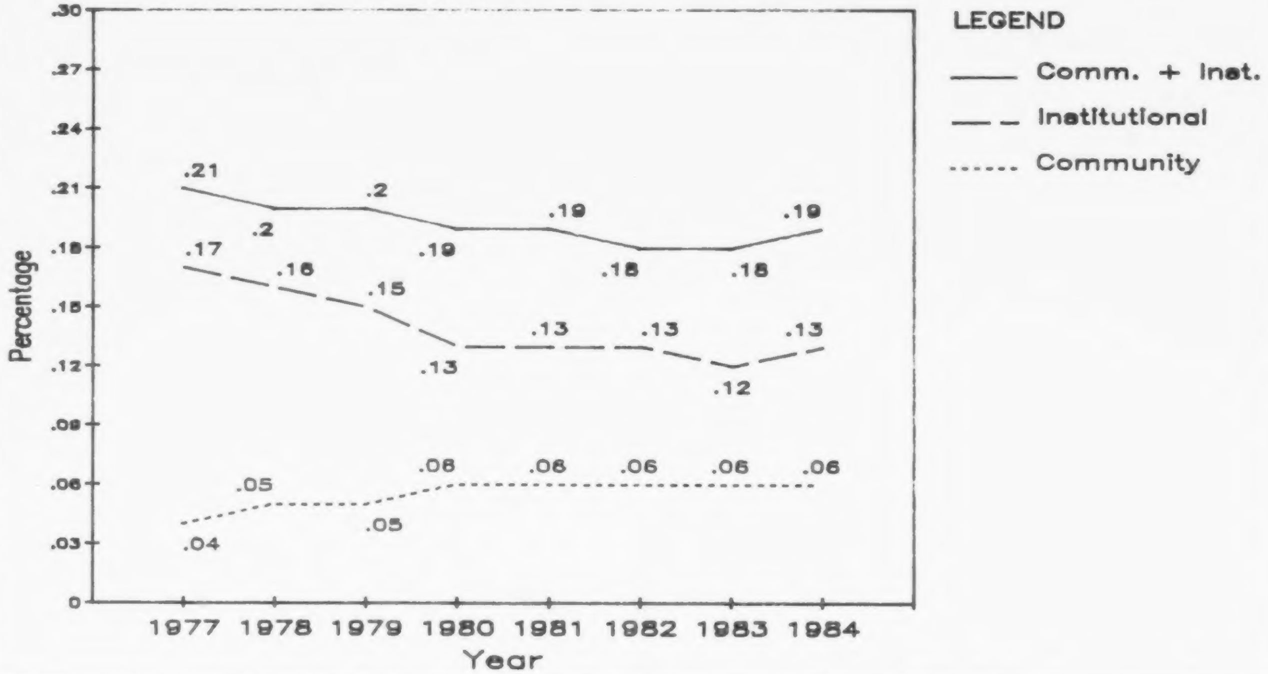


Total Community Funds: .584 Billion

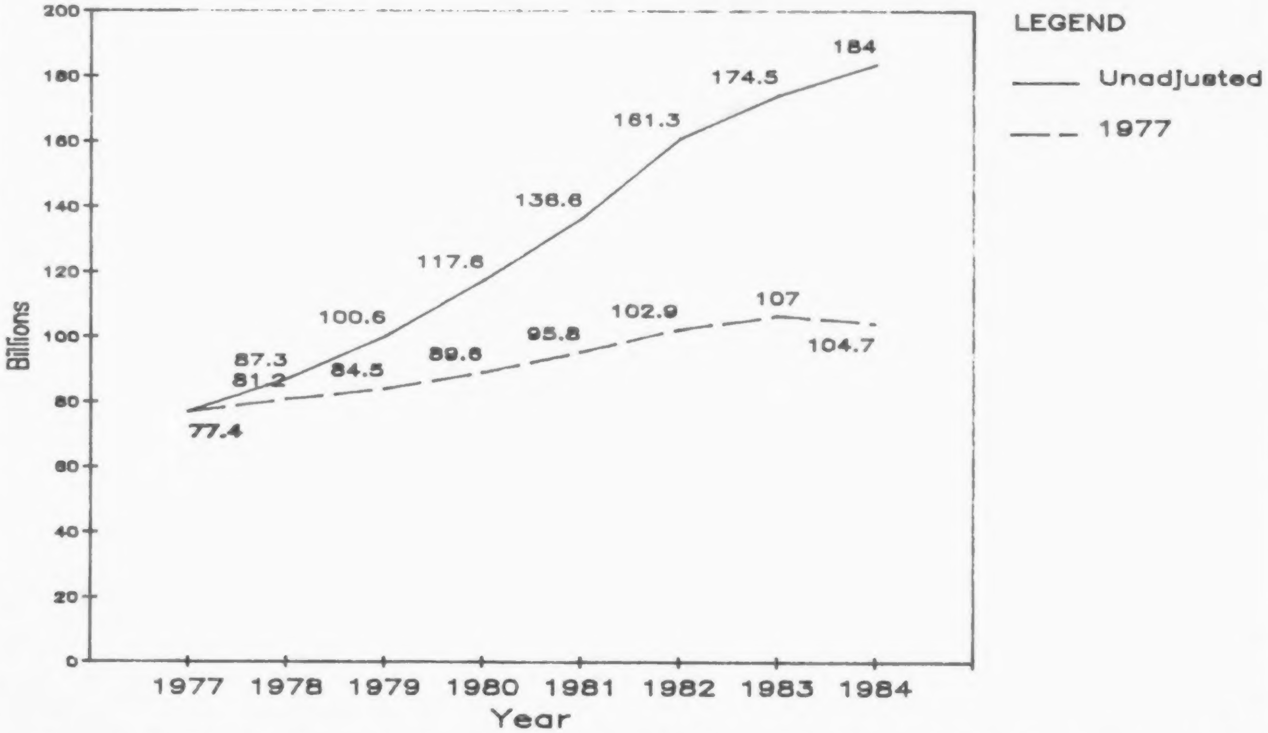
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1982



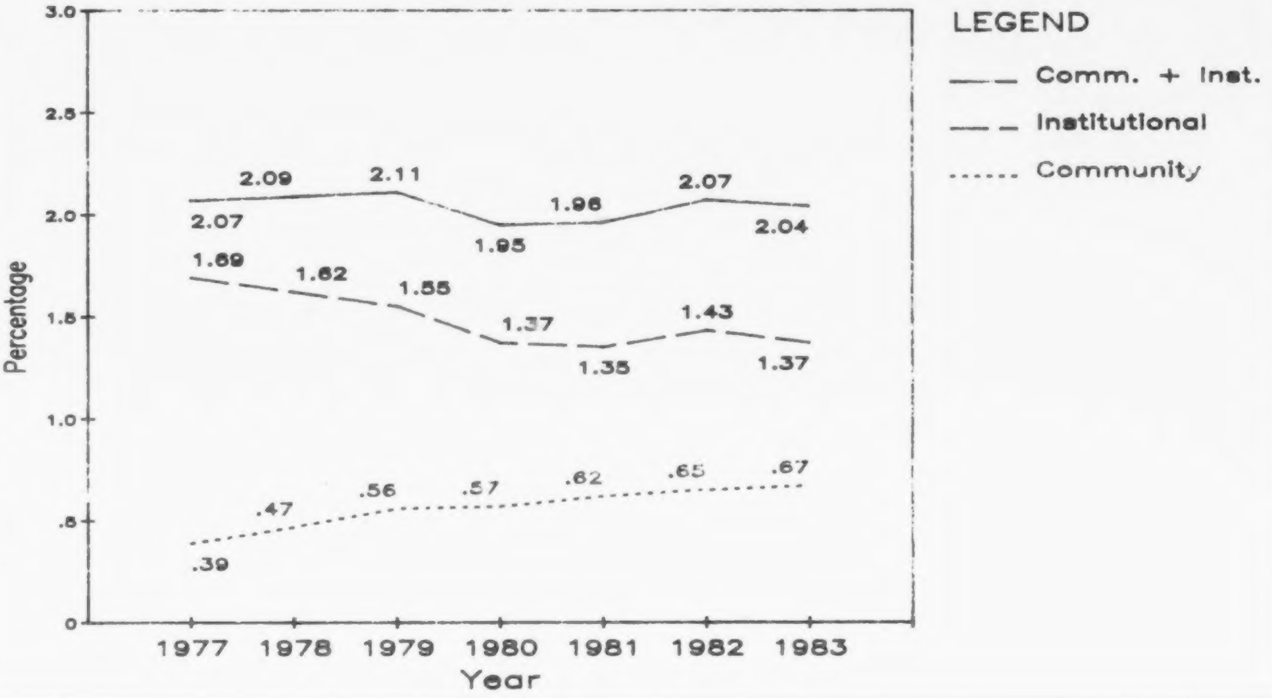
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1982



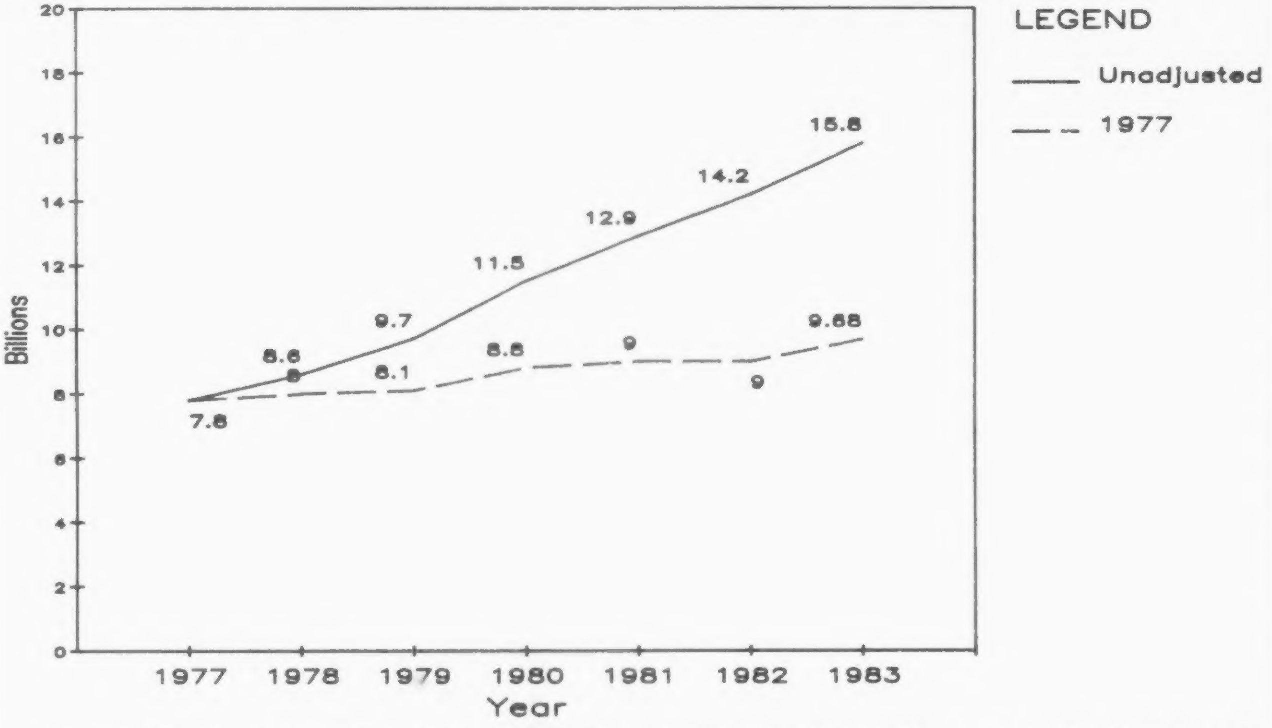
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



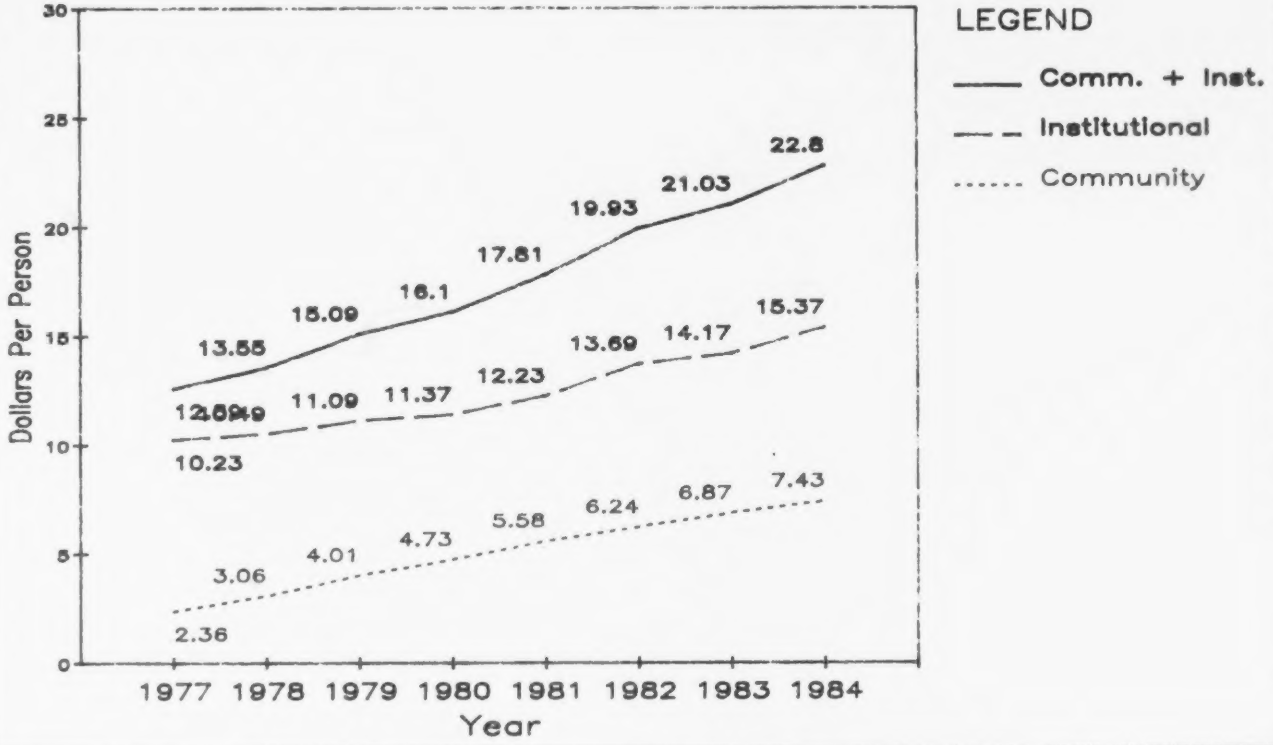
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



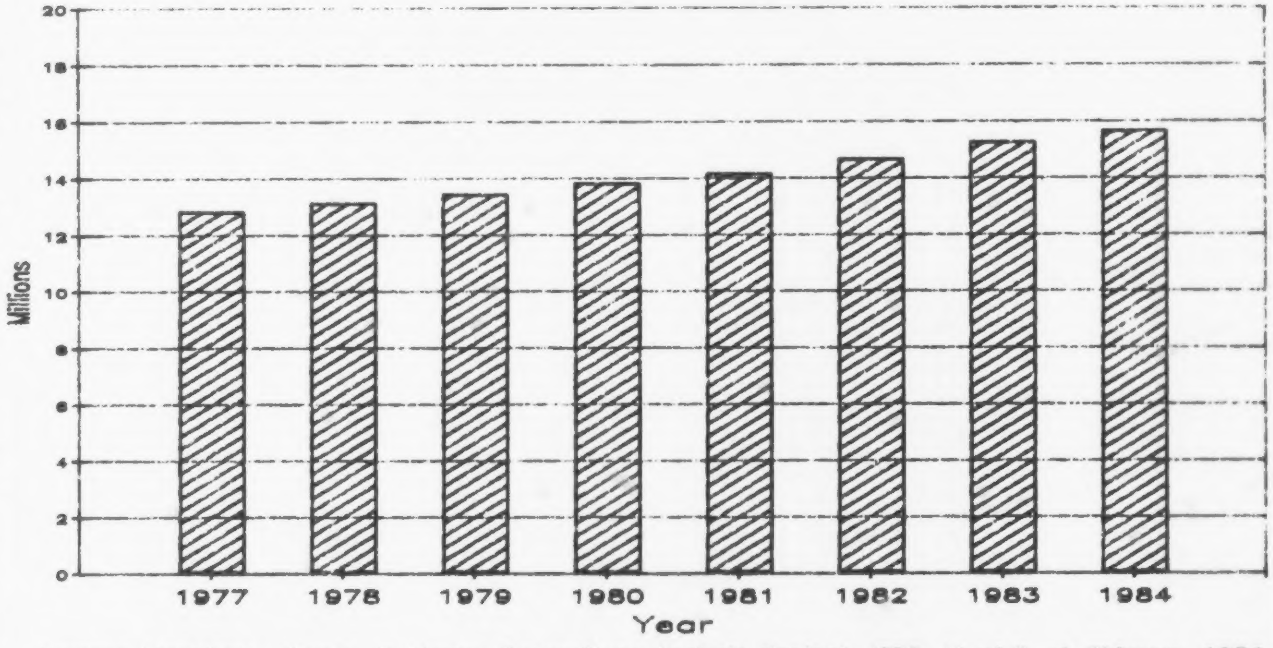
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

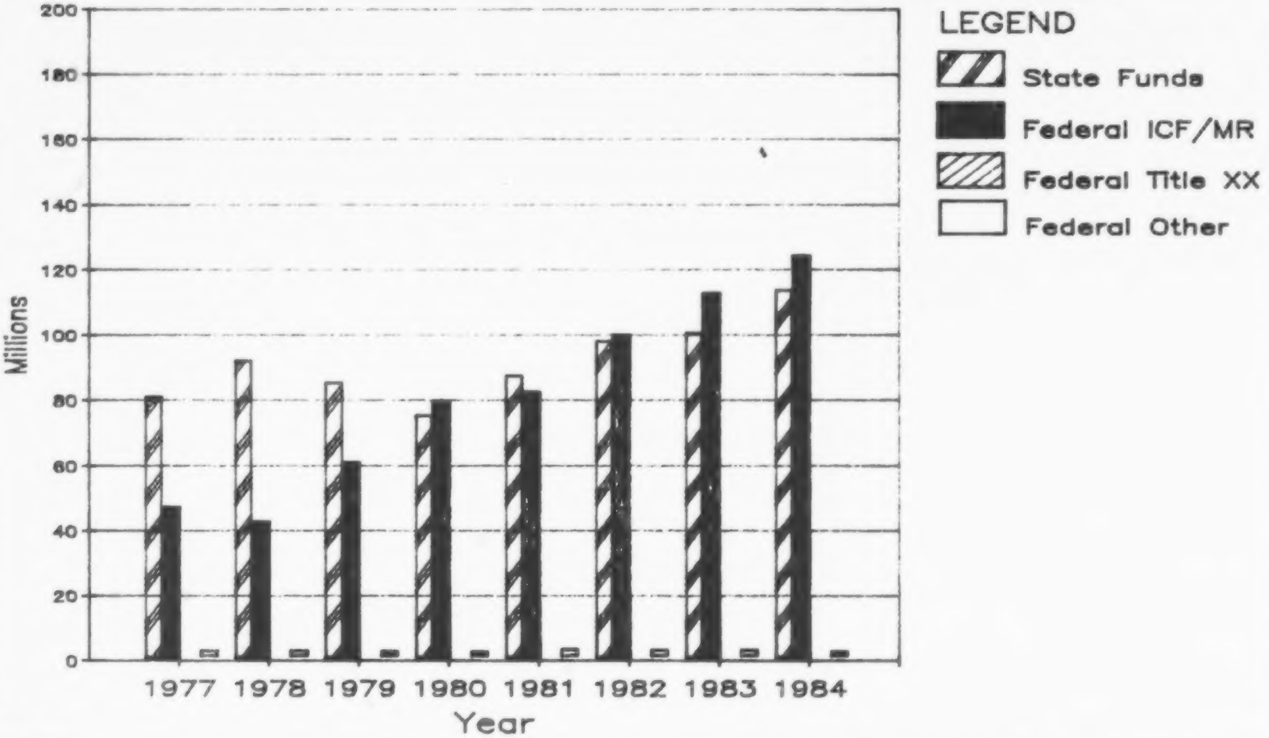


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

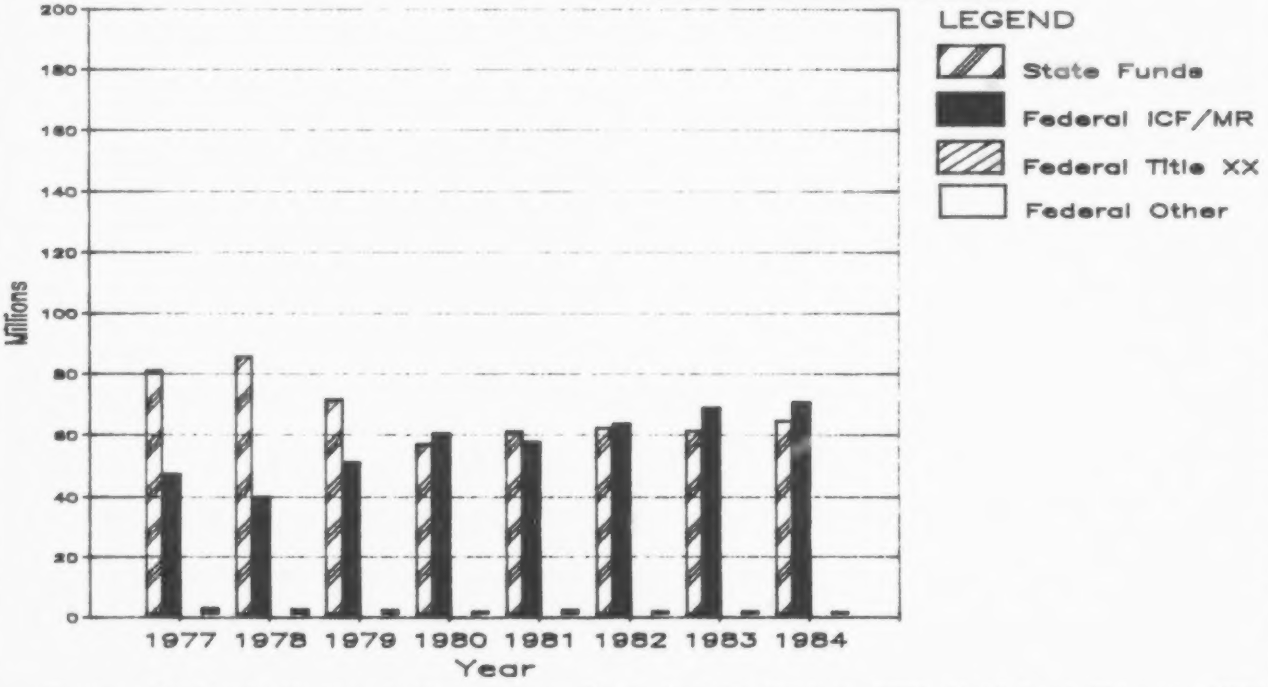
TEXAS

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



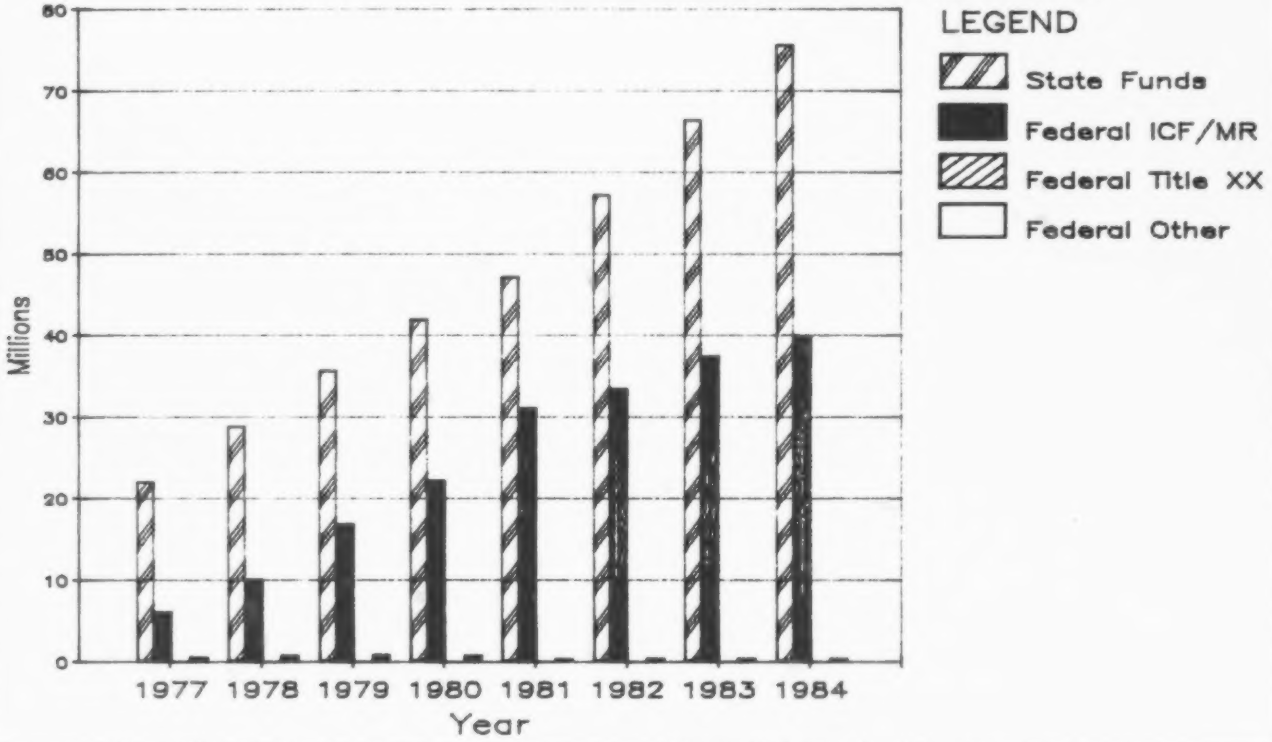
FY 1977–1984, *In 1977 Dollars*



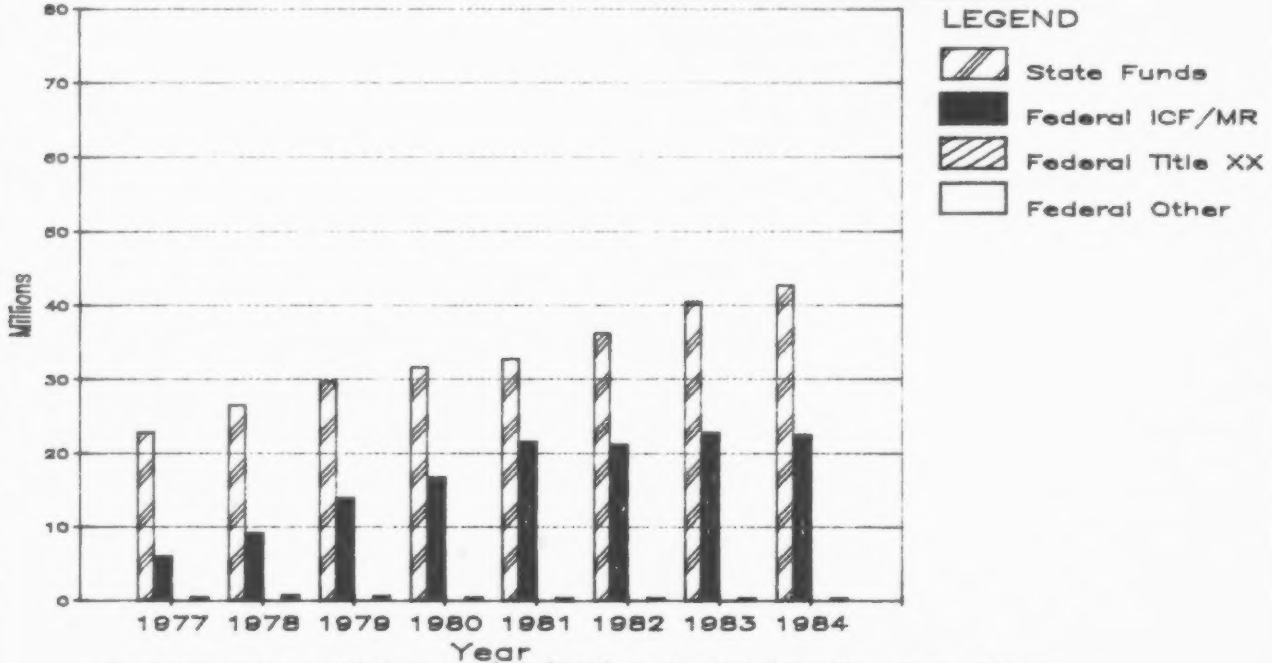
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, ***In Unadjusted Dollars***



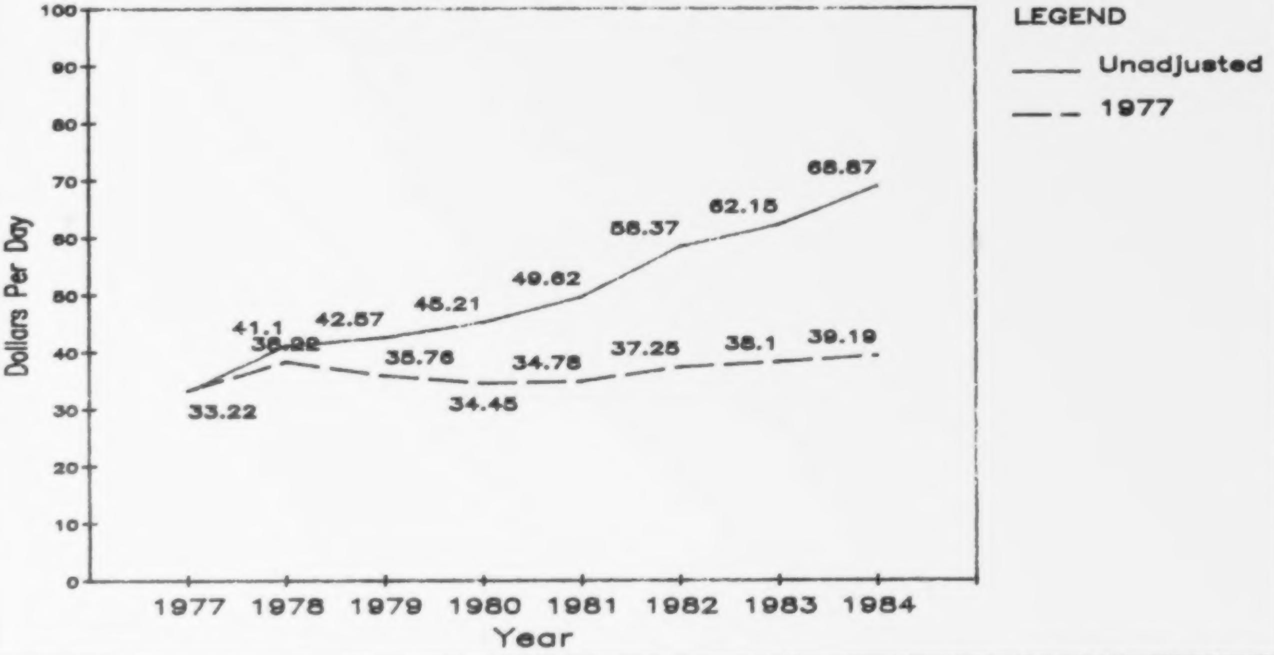
FY 1977–1984, ***In 1977 Dollars***



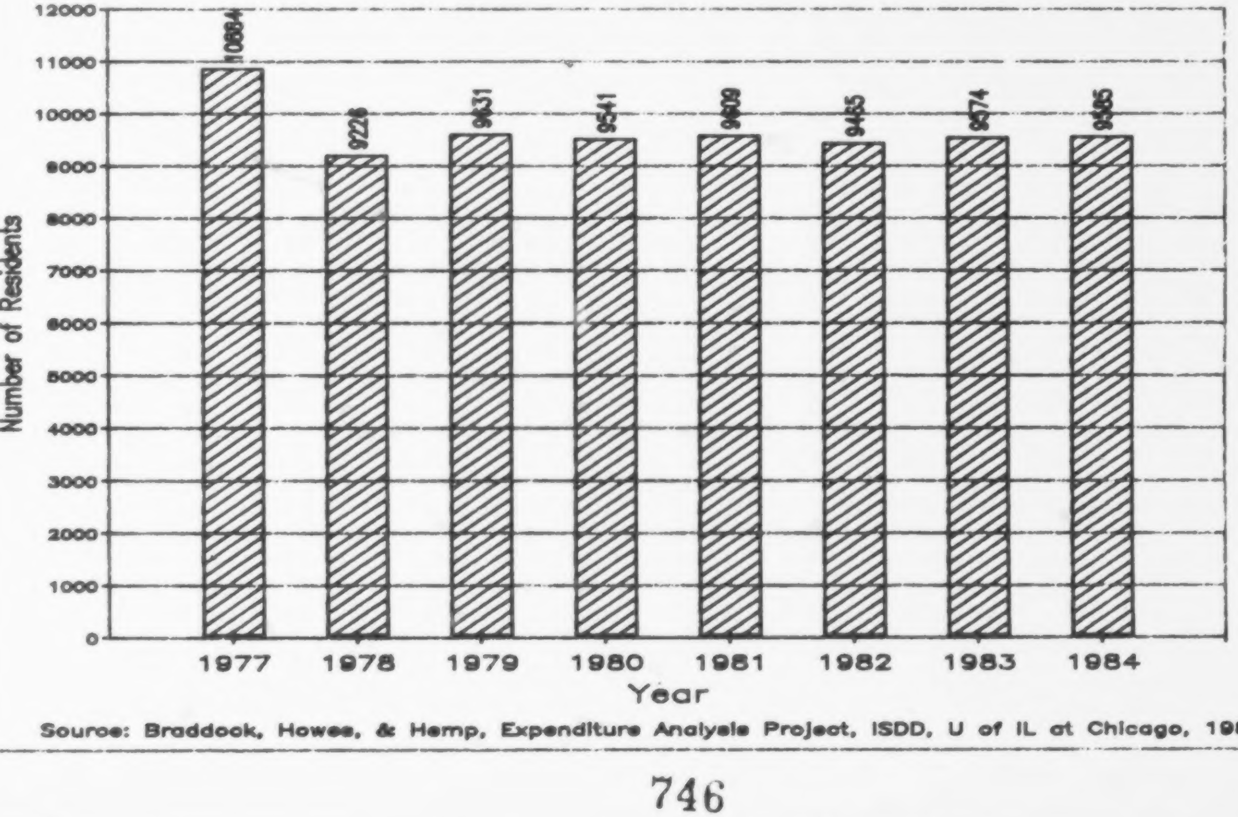
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

TEXAS

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services are administered by the Deputy Commissioner for Mental Retardation Services in the Department of Mental Health and Mental Retardation.

2. Budget Format: The Texas State Budget is organized in the following manner. The years in parentheses after the line items indicate which years those items appeared in the State Budget.

   - Department of Mental Health and Mental Retardation
     - Central Office
       - Central Administration (1977-`84)
       - Management & Support Program (1977-`84)
       - Program Administrative Services (1977-`84)
         - Mental Health Services
         - Mental Retardation Services
         - Community Services
       - DD Services (1980-84)
       - Pilot Program for Citizens (1982-84)
       - Hepatitis "B" Screening & Vaccine (1984)
       - Installation of Computer Services in Facilities (FY `84 only)
       - Method of Financing (all of the program divisions have the following funding source detail)
         - General Revenue Fund
         - Federal Funds, estimated
         - Earned Federal Funds
         - Private Grants & Departmental Revenue
         - Interagency Contracts
         - Total
     - Supplemental Residential Services for MR (1978-`80)
     - Contract Treatment Services and State Grant-in-Aid (1977-84)
     - Reserve Fund (1977 only)
     - Centralized food purchased fund (1977-84)
     - Construction Program (out of the General Revenue Fund)
     - El Paso State Center for Human Development (1977-84)
     - Rio Grande State Center for Human Development
     - Beaumont State Center for Human Development
     - Amarillo Center for Human Development
     - State Schools for the Mentally Retarded (13, 1977-`84)
     - Each school budgeted separately with the following subheadings:
       - Administration and Staff Development
       - Auxiliary Services Program
       - Residential Services Program
       - Utilities
       - Community-Based Residential Services
       - Non-residential treatment program
       - Interagency Contracts (1981-84 only)
       - Method of Financing (same categories as listed before)

3. Note on Data Sources: Actual expenditures were obtained from the 1980-`81 Biennium Executive Budget, the 1984-85 Biennium Legislative Budget, and from numerous personal communications with state agency personnel. FY 1984 appropriation figures are from Senate Bill 179.

II. INSTITUTIONAL SERVICES

4. Institutional Services includes funds for: (1) the 13 state schools' budgets (minus the "community based residential services" and the "non-residential treatment program" portions of each school`s budget);

(2) 63% of the "Centralized Food Purchase Account," (as indicated by Jim Moore, Department of MH/MR, telephone, 8/22/83); and (3) prorated MR portion (based on bed capacity) of El Paso and Rio Grande State Centers for Human Development. Title XIX administrative costs labeled "interagency contract" in the Budget are not included.

The state schools are: Abilene, Austin, Brenham, Corpus Christi, Denton, Fort Worth, Lubbock, Lufkin, Mexia, Richmond, San Angelo, San Antonio and Travis. The aggregated average daily population at the centers has been:

1977 - 10,699
1978 - 9,031
1979 - 9,431
1980 - 9,326
1981 - 9,391
1982 - 9,212
1983 - 9,322
1984 - 9,333 (projected)

(Source: Budget documents)

When we include the estimated MR populations at the Rio Grande and El Paso Centers for Human Development, total aggregated MR institutional population becomes:

1977 - 10,884
1978 - 9,226
1979 - 9,631
1980 - 9,541
1981 - 9,609
1982 - 9,465
1983 - 9,574
1984 - 9,585

These latter are the population figures utilized in this analysis.

5. State General Funds. In Texas, federal Title XIX Medicaid revenue and the state match is consolidated and budgeted in the General Revenue Fund (GRF). All state schools are funded out of the GRF. In our analysis, federal Title XIX ICF/MR funds earned each year by the state facilities have, however, been subtracted from the total GRF line and considered as Federal Title XIX funds. The remainder reflects the net State Funds budgeted for Institutional Services, for the purposes of our analysis.

   Note also that sums budgeted for Texas' "community-based residential services" and "non-residential treatment program" lines in the state schools' budgets were subtracted from GRF funds and considered Community Services funds in our analysis.

6. Other State Funds are from the line in the budget documents labeled "Private Grants, and Departmental Revenue." According to Carl Risinger (telephone, 8/17/83), they include such items as endowments, donations, and "Hogg Fund" expenditures.

7. Title XIX. Federal ICF/MR reimbursements for 1977-`83 were provided by Jim Dalton, Claims Division, Department of MH/MR (telephone interview, 8/22/83). These are actual cash payments received for each Fiscal Year, not the amounts earned each year, which accounts for the fluctuations, particularly between FY `77-`79. The 1984 figure is from HCFA, an estimate from the HCFA Form 25, Medicaid Program Projection Report (May `83 Quarterly Revision).

8. Other Federal Funds are from two lines in the budget documents: "Federal Funds, Estimated" and "Earned Federal Funds." According to Carl Risinger, Budget Office, DMH/MR (telephone, 8/17/83), these are small federal grant programs such as Title I ESEA.

III. COMMUNITY SERVICES

9. Community Services include: (1) the MR portion of the 30 Community MH/MR Centers (CMHMRCs); (2) the "community based residential services" and "non-residential program" lines under each state school and the El Paso Center for Human Development (prorated MR portion only); (3) the Amarillo Center for Human Development and the MR portion (50-60%) of the Beaumont Center; and (4) "Supplemental Residential Services" line in the State's budget documents. Carl Risinger, (telephone, 8/17/83) said the "Supplemental Residential Services" line was state start-up funds for

community ICF/MRs. The "community-based residential services" funds appearing in the state school budgets pay for group home residences in localities where the CMHMRCs are not developing community residences, so the institutions perform this job. DD Council funds are not included in our analysis of community funding. The "Medical Assistance Program" line (which appears only in FY `77-`79) also was not included in our data. Risinger said this program element was probably state revolving fund matching dollars for community ICF/MRs, which have more recently been budgeted in the Department of Human Resources. Local-sourced funds in the CMHMRC's budgets are not included in our analysis at this time.

The 30 local CMHMRCs are reported in the state budget under the program heading "Contract Treatment Services and State Grants-in-Aid." All MH and MR expenditures are consolidated. To determine how much of the total was spent for MR clients each year, we contacted state personnel. For some of the years MR figures were provided to us from various state CMHMRC Reports. All our figures were verified by the DMH/MR Budget Office (Jim Schorr, telephone interview, 9/15/83).

FY 1983 and '84 figures are projections, increasing all `82 figures by 5% per Schorr's recommendation. Local Funds are a major part of the Community MH/MR Centers' budgets. They include patient fees, contributions, United Way funds and other locally raised funds. They are not included in our analysis at this time.

10. State General Funds. The General Revenue Funds in the Community MH/MR Center's budgets are labeled "Grants-in-Aid."

11. Other State Funds include contract work income that the Community MH/MR Centers do for other state agencies, according to Jim Schorr (telephone, 9/15/83).

12. Title XIX accounts for approximately 90% of the total federal funds expended in the budgets of the Community MH/MR Centers, according to Jim Schorr. It is used for the "liaison worker program" which is a Title XIX funded case management program. Also included in this line are federal reimbursements for the private ICF/MR's and the public community-based ICF/MRs run by the CMHMRCs. A Medicaid Waiver application is currently being prepared by the Texas DMHMR.

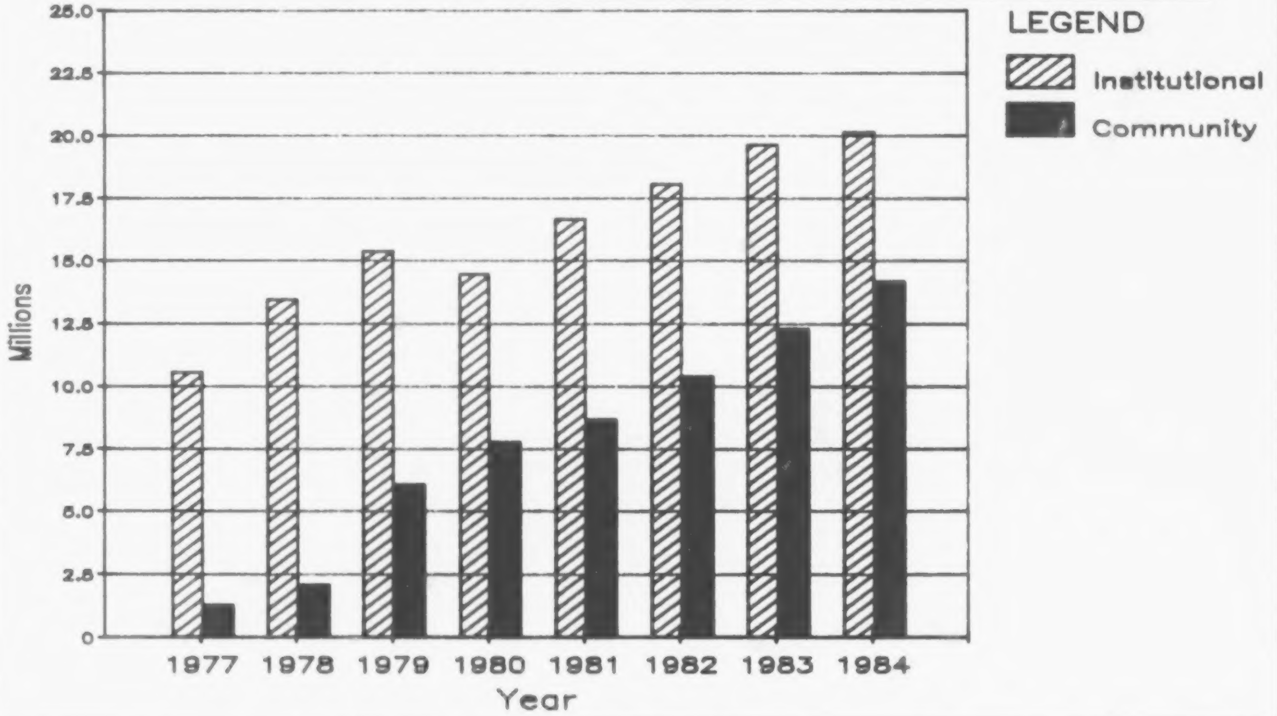
13. Title XX According to Jim Schorr, Title XX funds at the CMHMRC were used for MH rather than MR clients, in accord with the State Title XX Plan.

14. Other Federal Funds are primarily Vocational Rehabilitation funds.

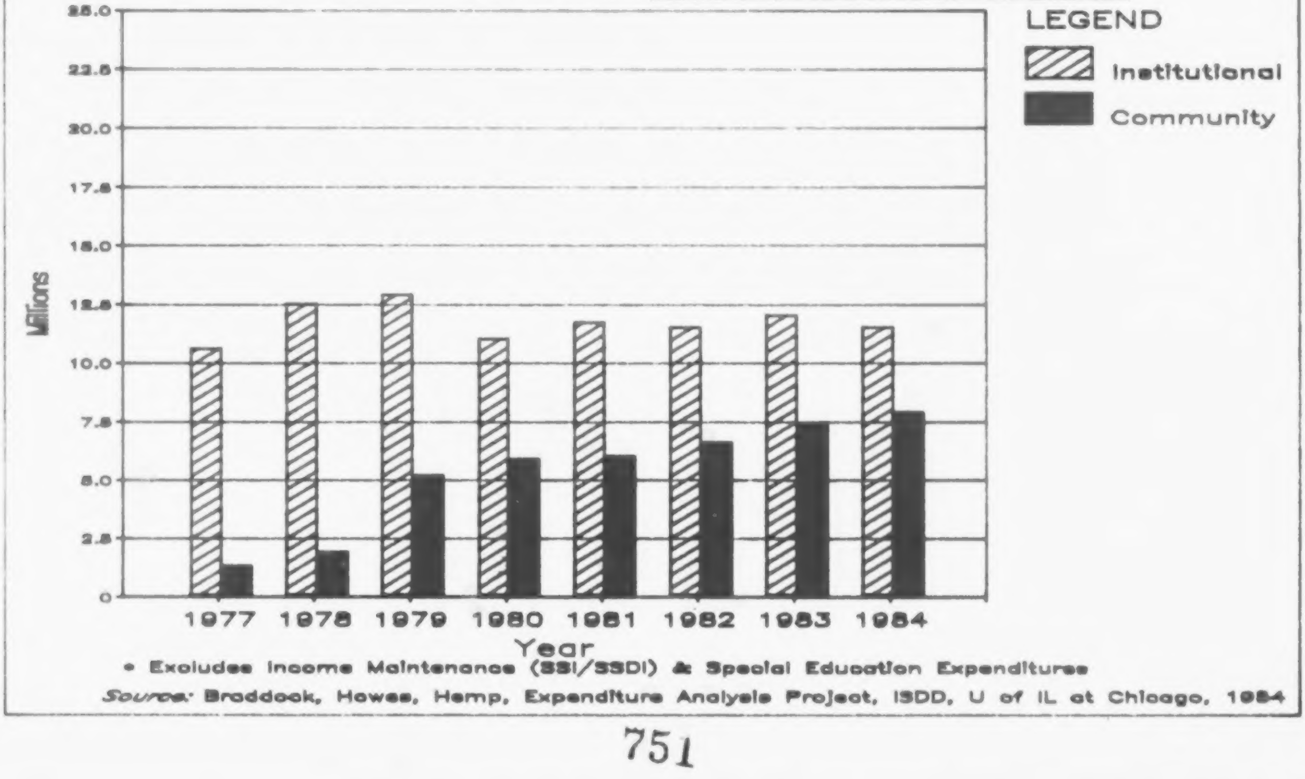
15. Private ICF/MR. In Texas, all community-based ICF/MRs are funded through the local Community MH/MR Boards. Some Boards operate their own ICF/MRs and some contract with private providers. David Cook, Department of Human Resources (telephone, 8/22/83), provided expenditure figures for community-based ICF/MRs. However, he said it would be very difficult to determine how much of the total went to private operators as opposed to the public CMHMR Boards who operated their own homes, without researching the records of each local CMHMR Board. Cook reported that there are 4,000 community-based ICF/MRs. He estimated that approximately two-thirds of those beds are run by private providers, and this estimate is utilized by our analysis.

UTAH
STATE PROFILE

UTAH
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

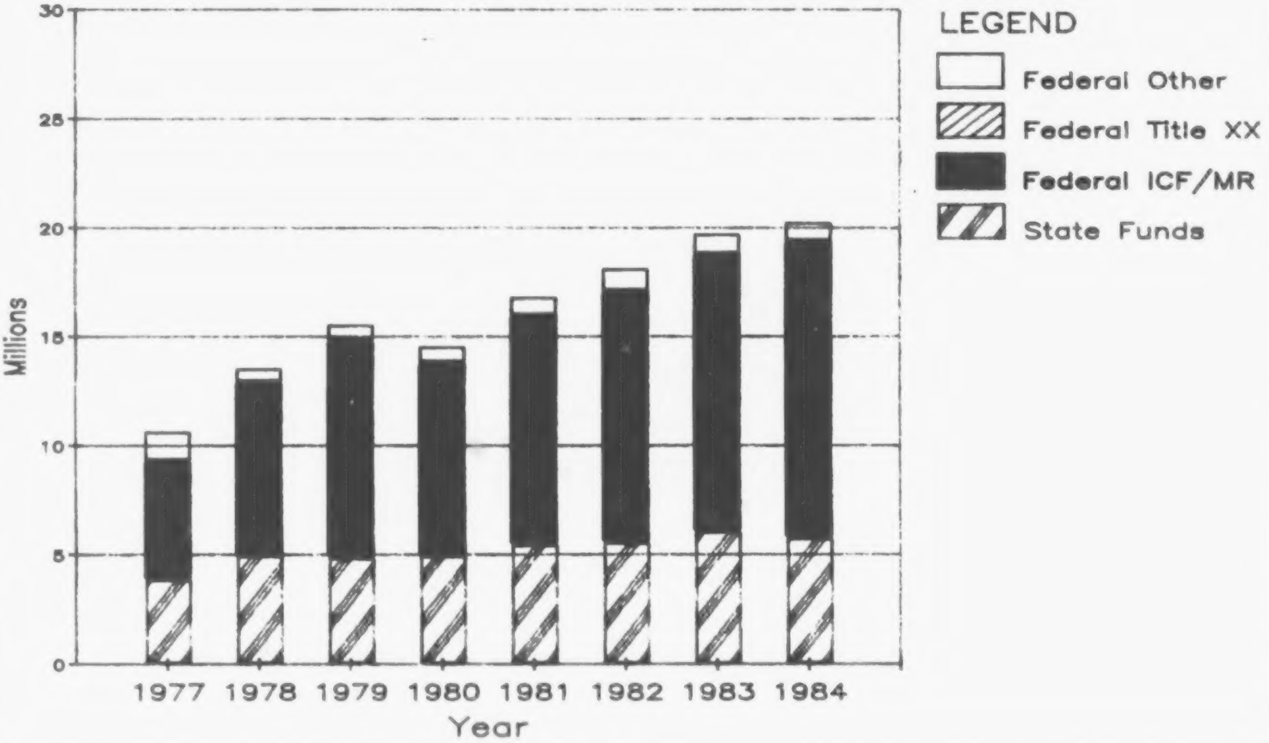


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

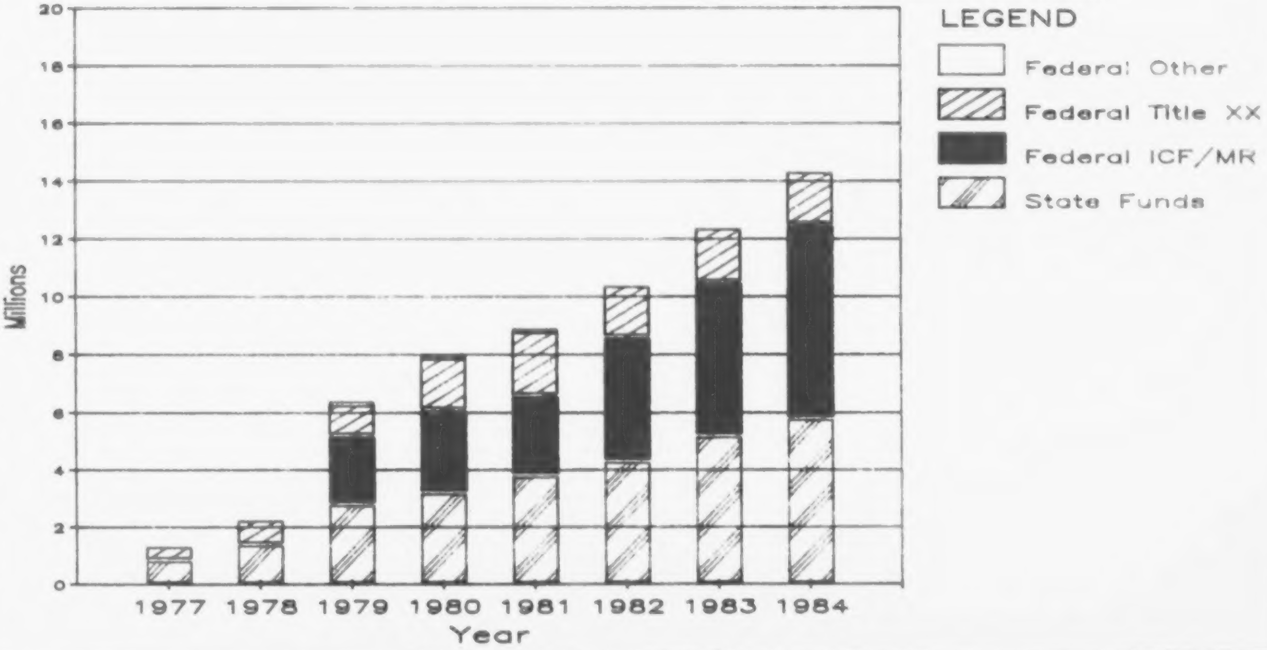
Source: Braddock, Hewes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UTAH

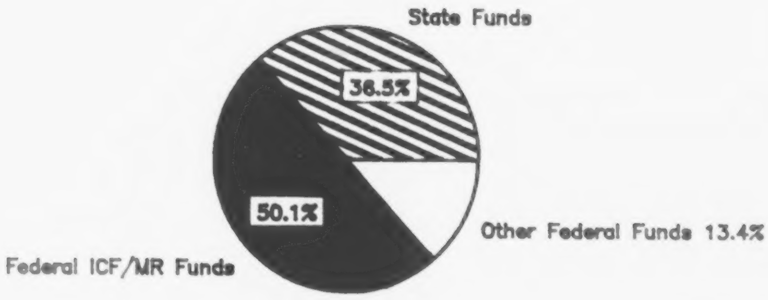
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



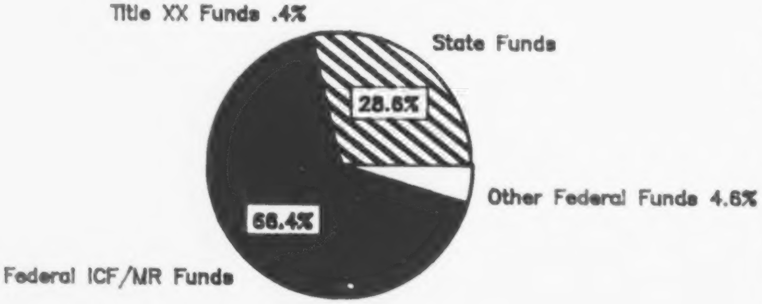
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



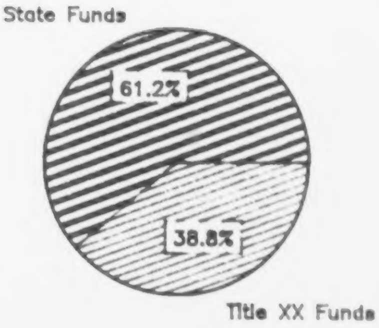
UTAH
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



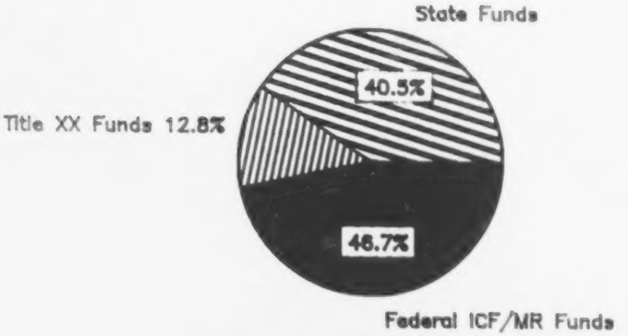
Institutional 1977: $10.7 Million



Institutional 1984: $20.3 Million



Community 1977: $1.4 Million

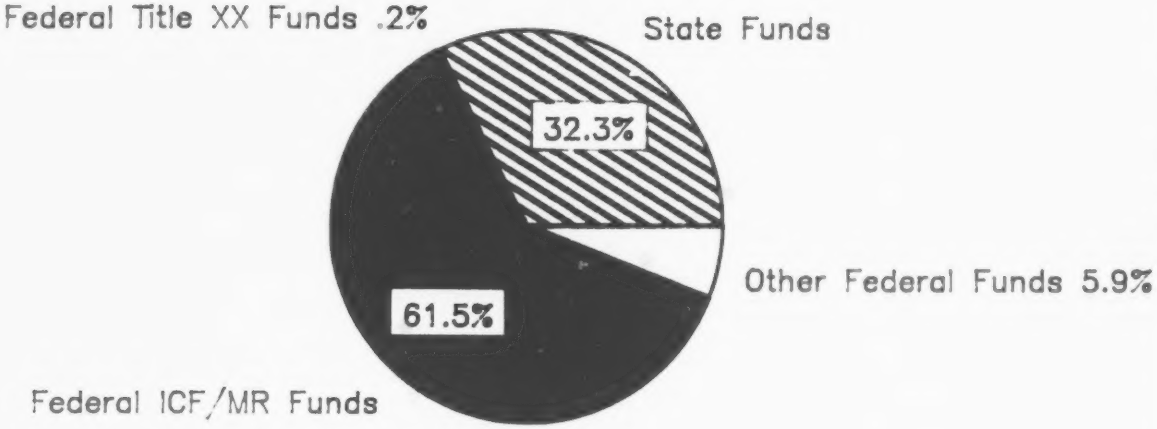


Community 1984: $14.3 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

UTAH
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

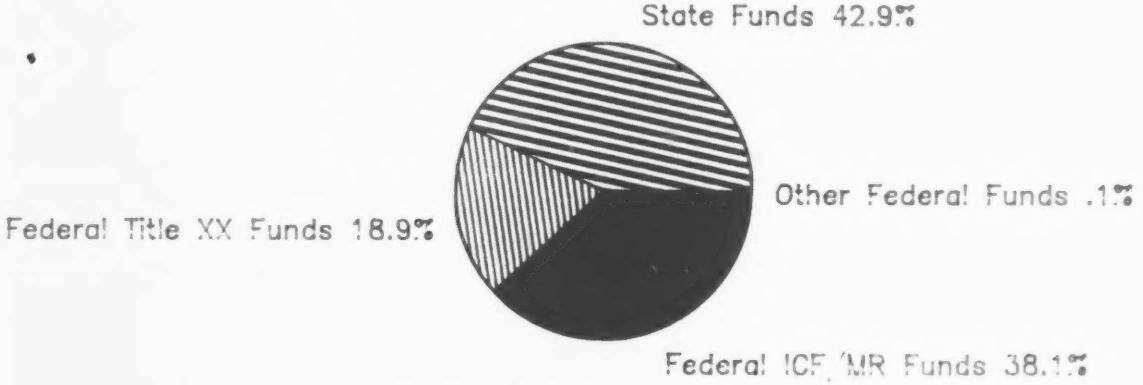
Institutional Services Funds



Institutional Funds: $129.7 Million

Community Services Funds

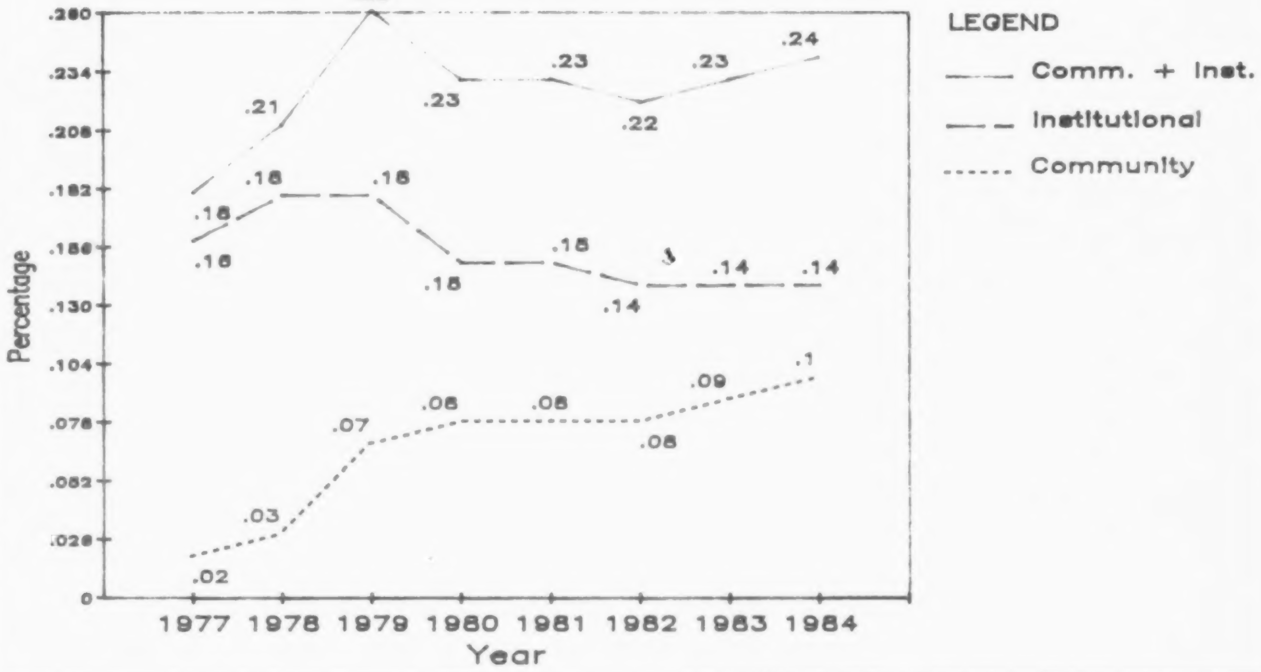
(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



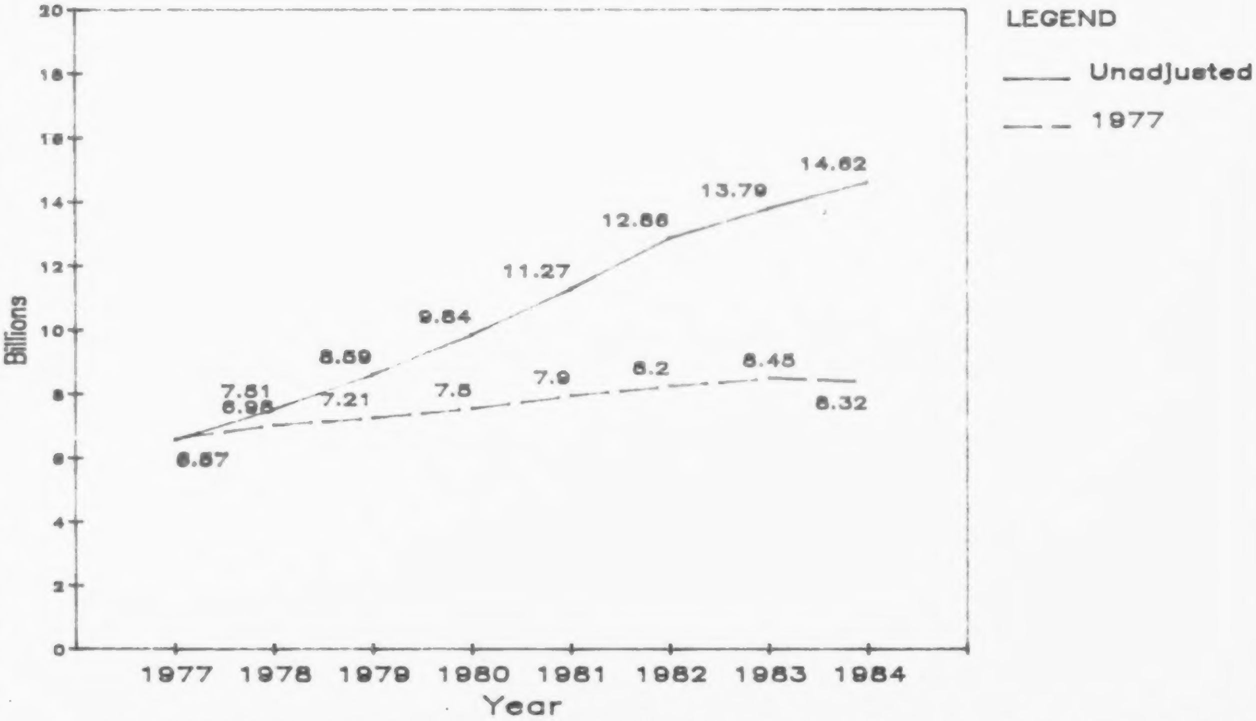
Community Funds: $64.1 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UTAH
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:
FY 1977–1984



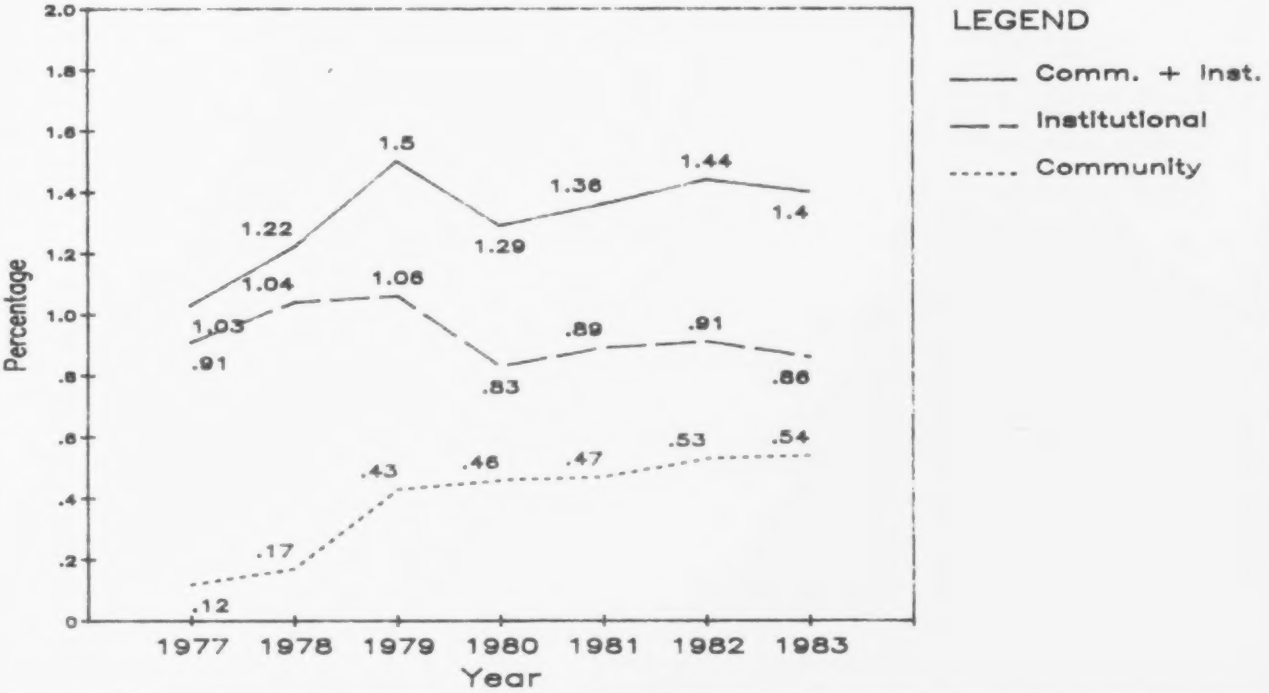
Personal Income Expressed in *Unadjusted* & *1977* Dollars
FY 1977–1984



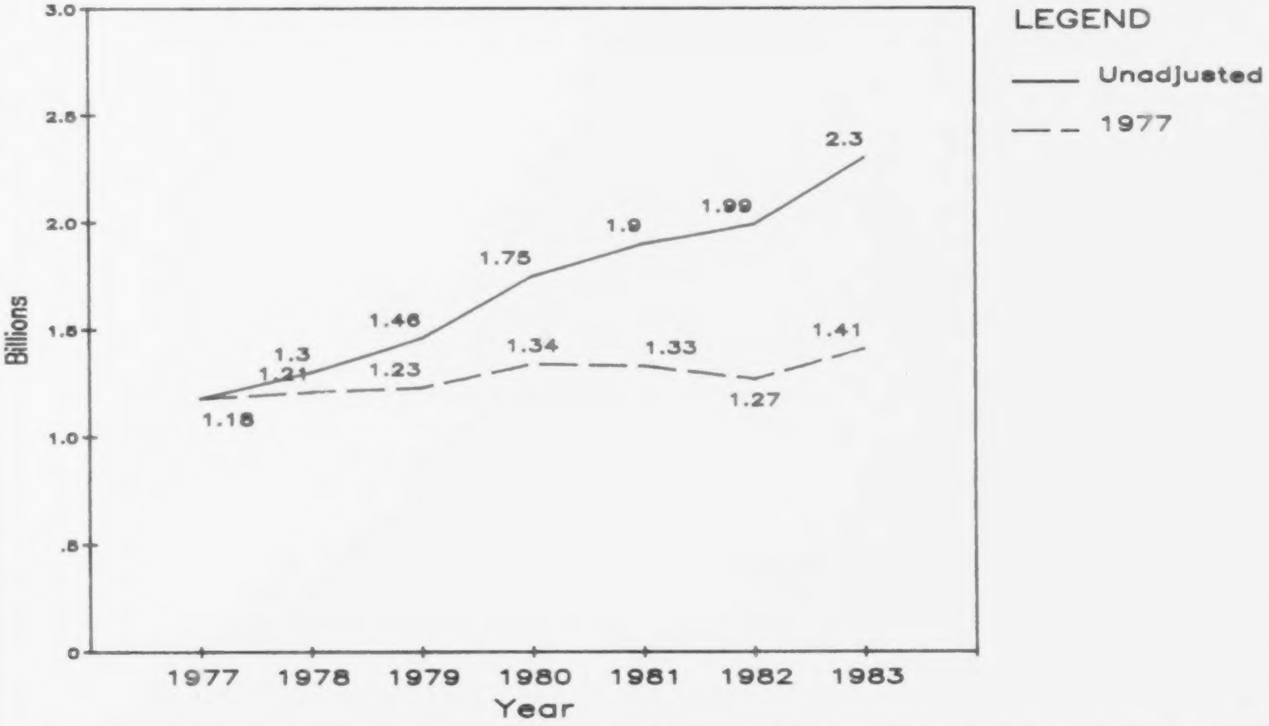
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UTAH

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



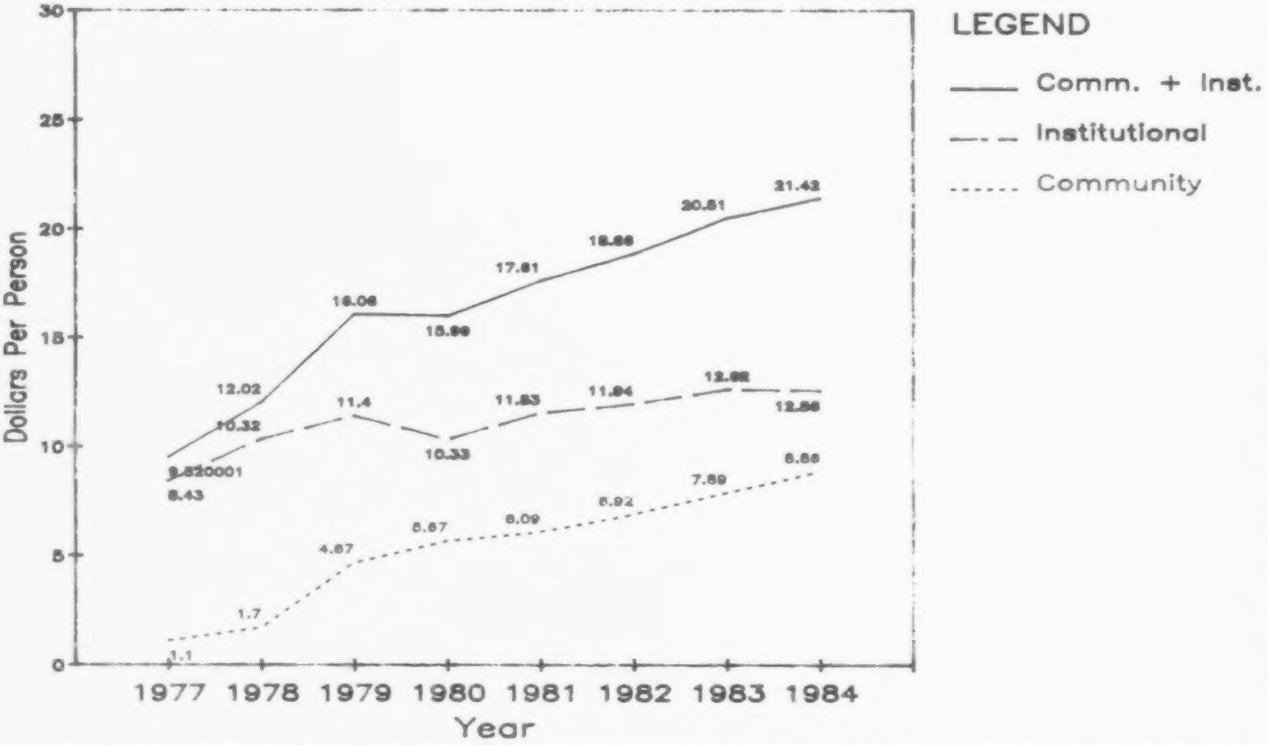
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



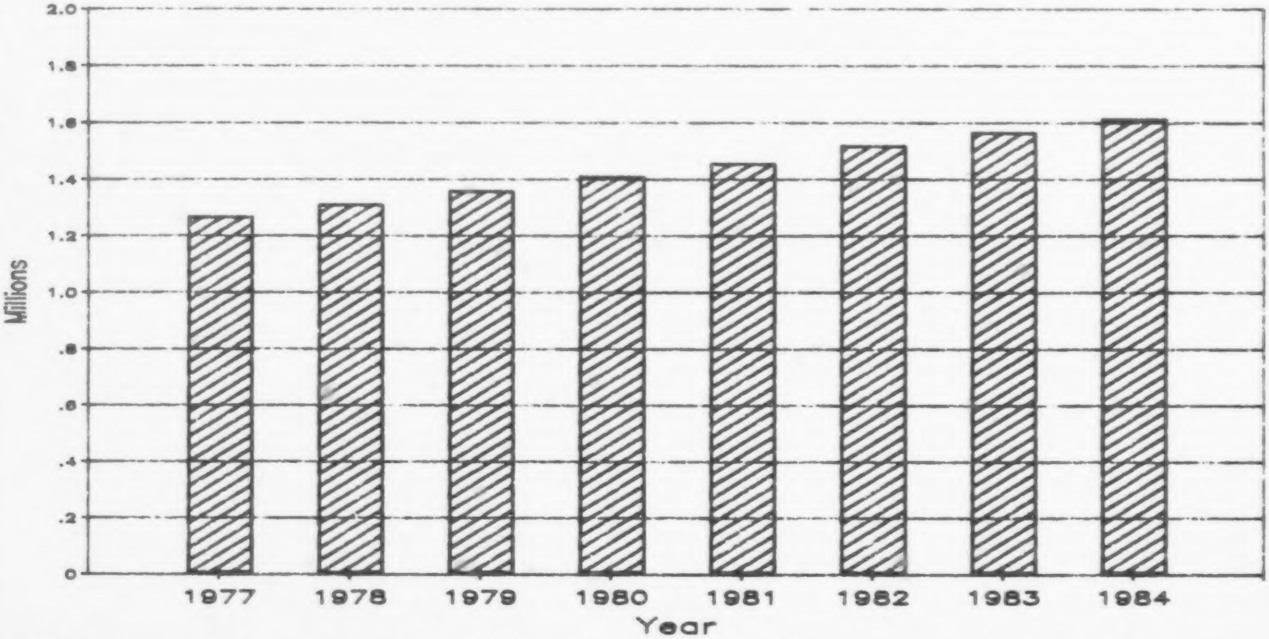
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UTAH

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



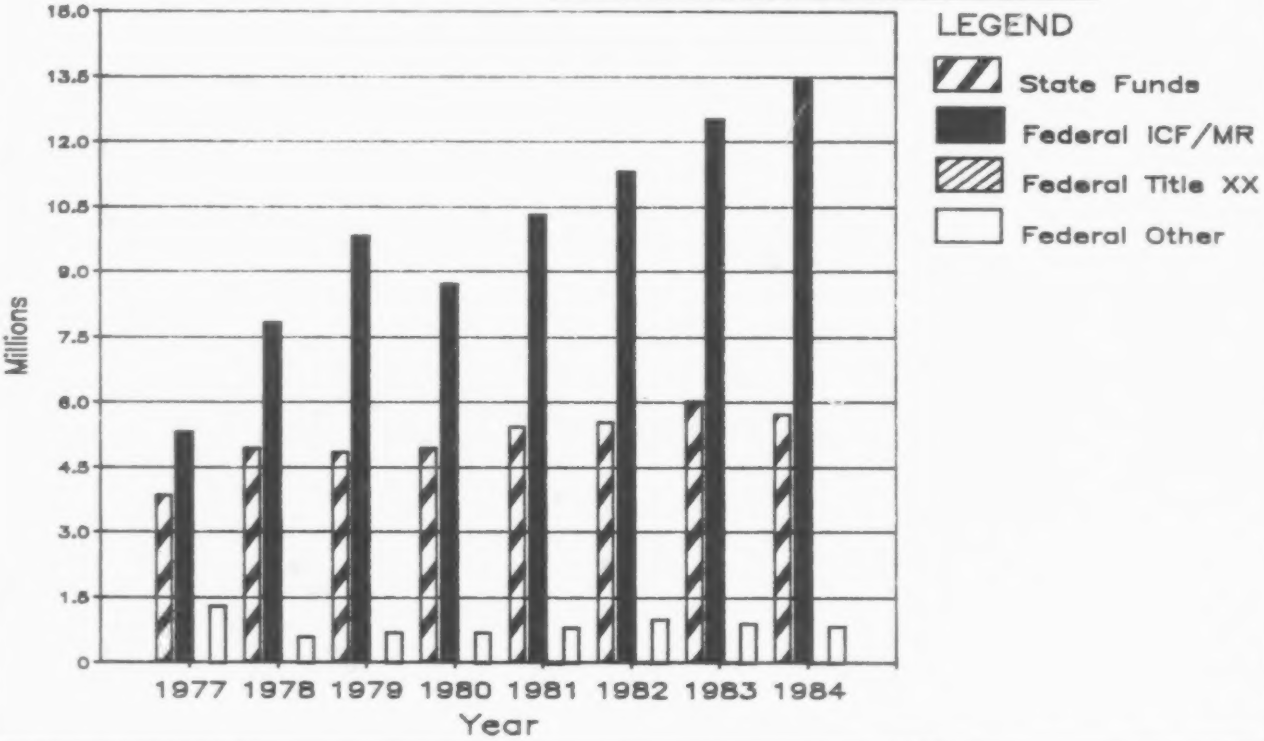
The Total State General Population FY 1977–1984



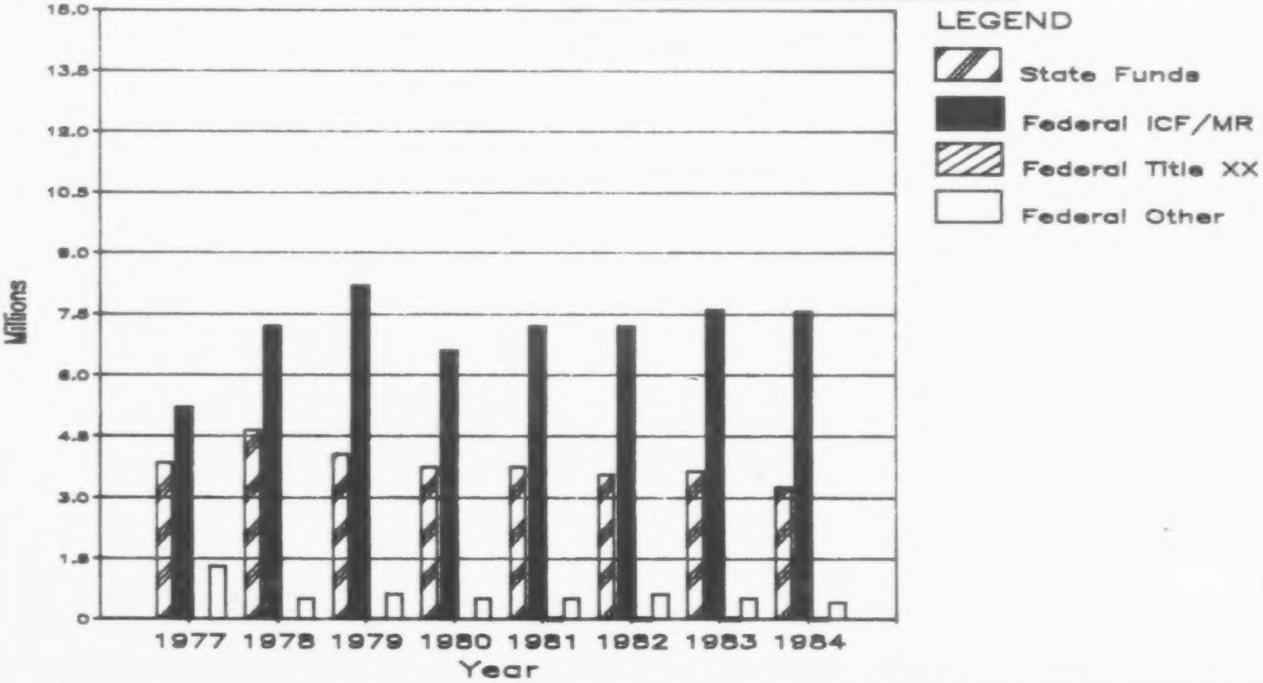
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

UTAH

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

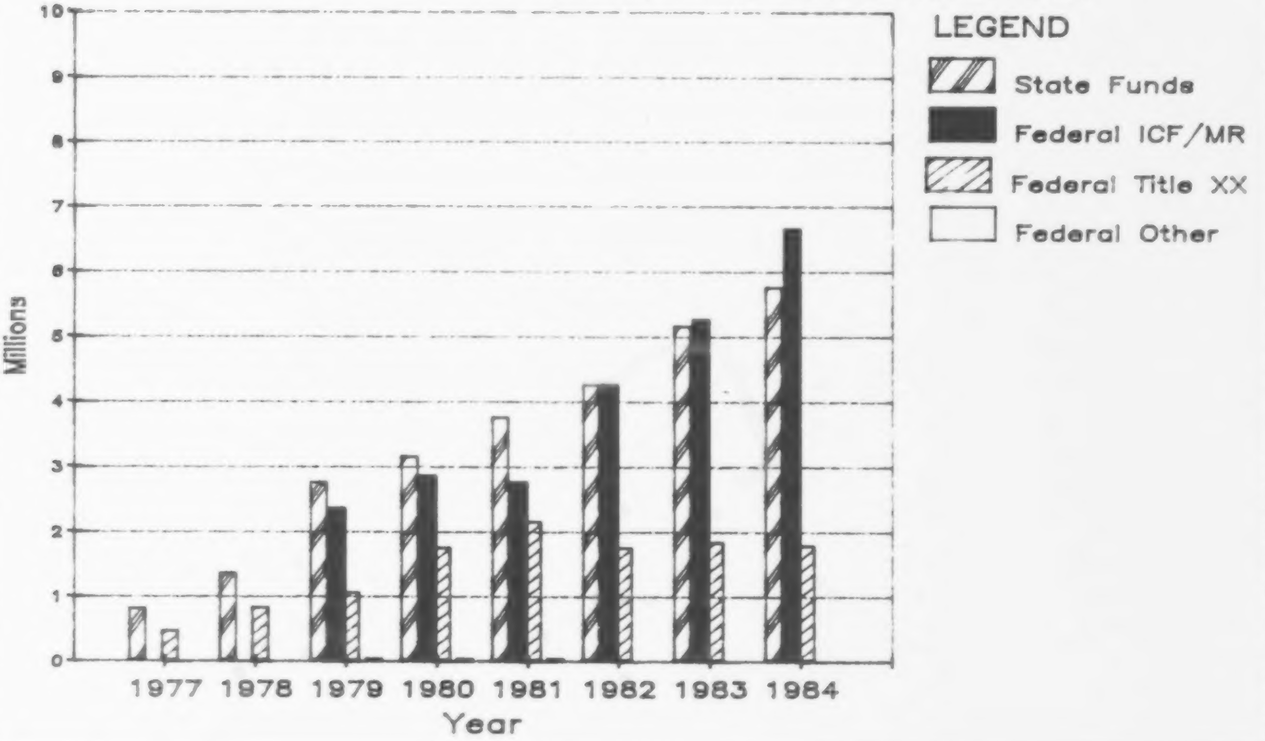


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

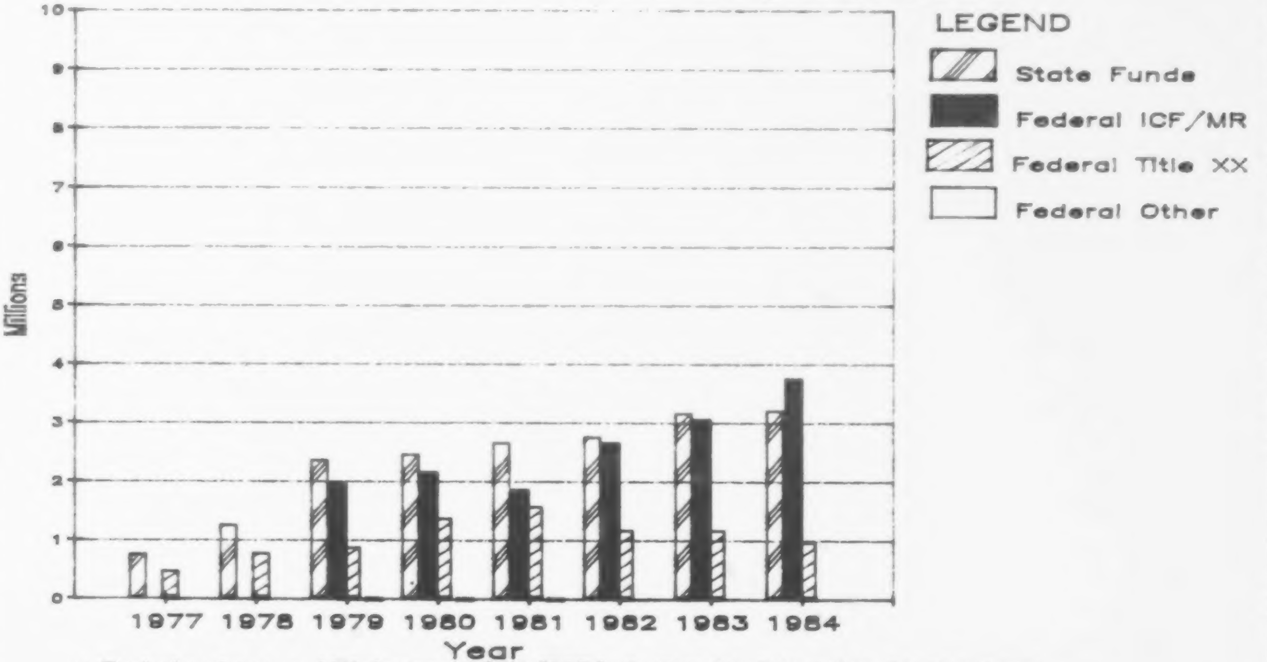
UTAH

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*



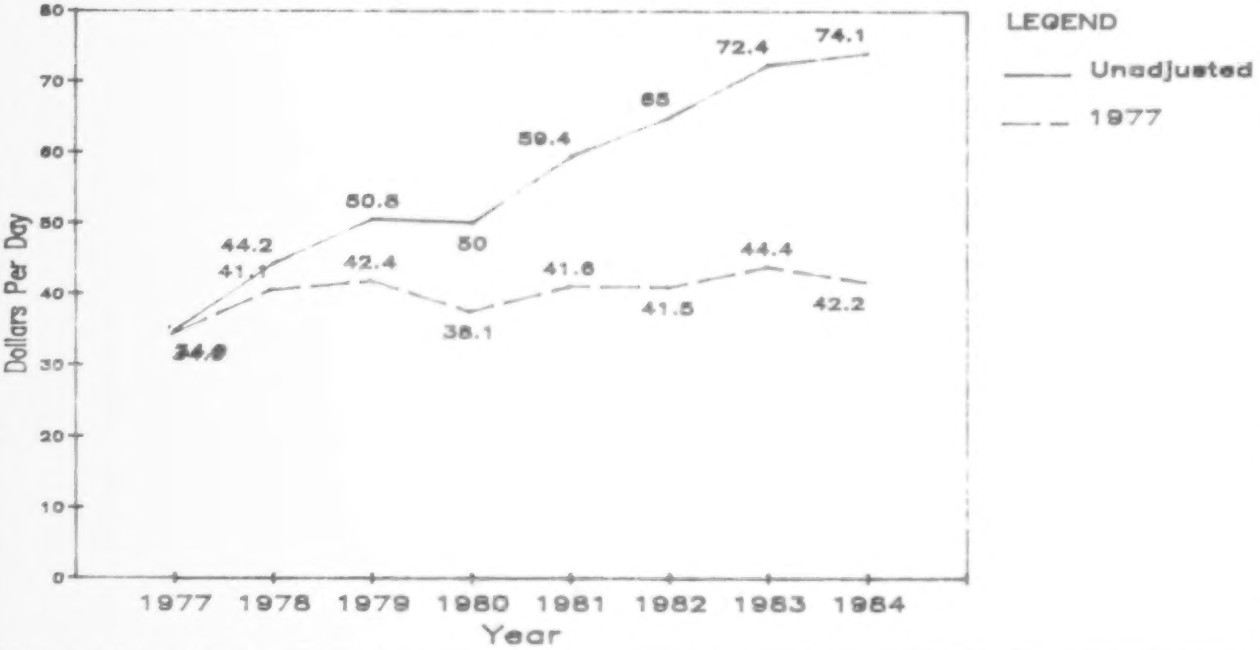
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

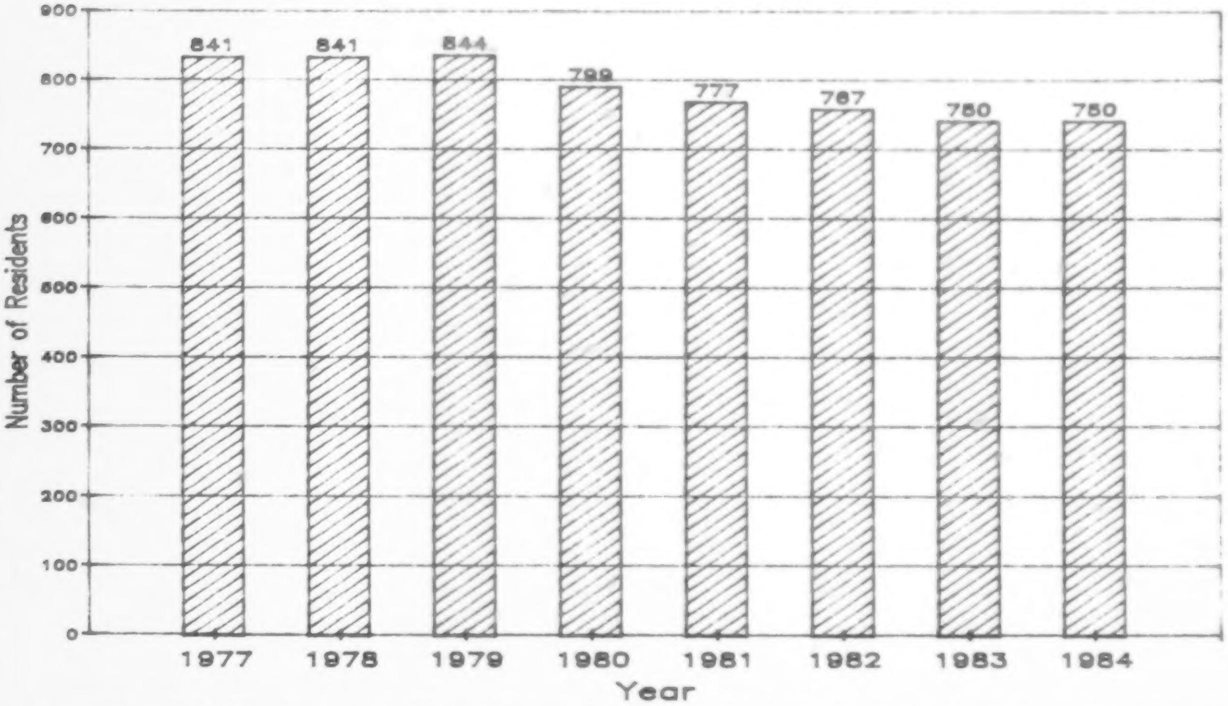
UTAH

Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84

In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

UTAH

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Institutional and community services for mentally retarded and developmentally disabled individuals in Utah are administered by the Division of Services to the Handicapped within the Department of Social Services. Prior to July 1, 1983, the MR/DD programs were located in a sub-division within the Division of Family Services. Currently, within the Division of Services to the Handicapped, institutional services are provided at the Utah State Training School. Community services are managed by the Division in fourteen regions throughout the state.

2. Budget Format: The Division of Services to the Handicapped budget format as indicated in the Utah Annual Budgets, is:

- Department of Social Services
  - Division of Services to the Handicapped
    - MR/DD Program (Revenues)
      - General Fund
      - Federal Funds
      - Dedicated Credits
    - MR/DD Program (Expenditures)
      - State Office--Administration
      - Community (Purchased) Services
      - State Training School

3. Note on Data Sources: Utah Annual Budget documents were reviewed for budget years FY ’79, FY ’81 FY ’82 and FY ’83. These documents provided "actual" expenditure figures for FY ’79, ’80, and ’81; "estimated" expenditure figures for FY ’78; "experienced" dollar figures for FY ’77; "authorized" figures for FY ’82; and "Governor's Recommendation" for FY ’83. Review of these documents disclosed that funding source details were not available for the Utah State Training School nor Community (Purchased) Services for any of the fiscal years. For FY ’77 and FY ’78, there were no figures in the documents for Purchased Services. Initial phone contact was made with the office of the Director of the Division, Dr. Gary Nakao. We were referred to Ms. Pam Wilson, Budget and Accounting Officer, Office of Administrative Services, Finance Bureau, Department of Social Services. Ms. Wilson, in 11/8/83 correspondence, provided "actual" fund source figures for our analysis for FY ’79 - FY ’83, and "appropriation" figures for FY ’84.

II. INSTITUTIONAL SERVICES

4. Institutional Services consists of funds for the Utah State Training School. Figures for FY ’79-FY ’84 were provided in the 11/8/83 correspondence from the Finance Bureau. The FY ’77 and FY ’78 figures, and updates on the other years' expenditures and fund sources were provided by Mr. Gary Clay of the Utah State Training School (11/14/83, telephone interview). Mr. Clay also provided census figures for the Training School ("average resident count, for full-time residents"):

FY 1977 - 841
FY 1978 - 841
FY 1979 - 844
FY 1980 - 799
FY 1981 - 777
FY 1982 - 767
FY 1983 - 750
FY 1984 - 750 (projected)

5. Other State Funds is primarily parent payments for children under 18 years of age, and miscellaneous collections (FY ’79-’84 figures from correspondence, FY ’77 and ’78 figures from Clay 11/14/83).

6. Title XIX figures as reported in the 11/8/83 correspondence included both State and Federal shares; therefore Utah Federal/State match rates (provided by the Health Care Financing Administration in Washington, DC) were utilized. The rates utilized for each year are:

	Federal Percentage	State Percentage
FY `77	70.04	29.96
FY `78, `79	68.98	31.02
FY `80, `81	68.07	31.93
FY `82, `83	68.64	31.36
FY 84	70.84	29.16

Federal share amounts are presented in our analysis as Title XIX; state share amounts are reported in State General Funds.

7. Title XX. These are figures reported in the 11/8/83 Wilson correspondence.

8. Other Federal Funds consists of education grants, social security payments to individuals, CHAMPUS, and deaf/blind grants (Clay, telephone interview, 11/14/83). Clay noted that the nearly 50% drop in "Other Federal Funds" between FY `77 and FY `78 is due to the decrease in an education grant for autism services.

III. COMMUNITY SERVICES

9. Community Services figures were those provided by Ms. Wilson for FY `79-FY `84. FY `77 and FY `78 figures were reported by Mr. Jerry Jackson, Program Specialist, Division of Services for the Handicapped (11/15/83, telephone interview). Since records did not reveal the funding source breakdown for these FY `77 and `78 figures, Mr. Jackson recommended utilizing the FY `79 fund source ratios to extrapolate to FY `78 and FY `77, and this method has been used in the analysis.

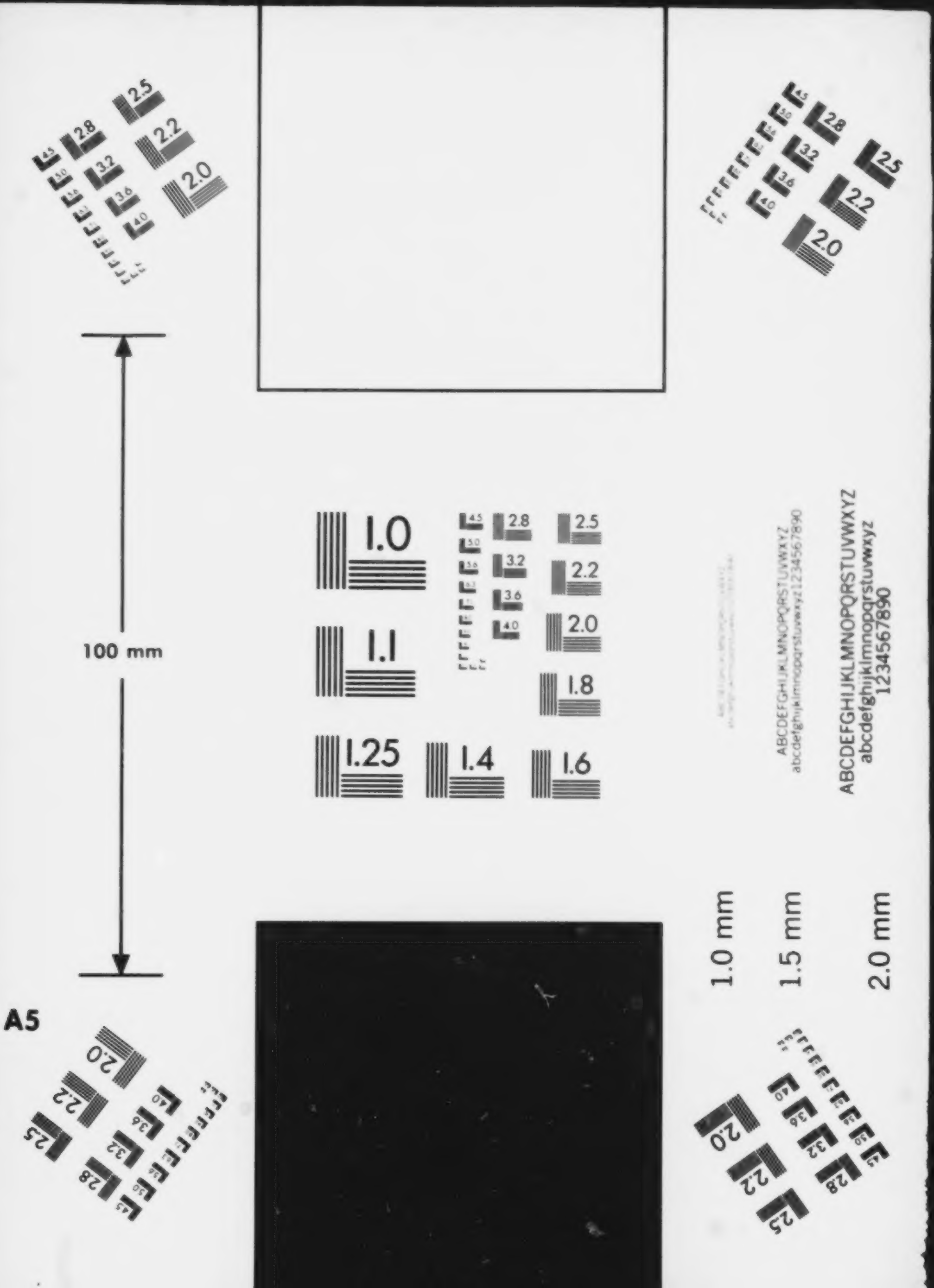
10. Title XIX expenditures are for day programs for the mentally retarded, consisting of sheltered workshops, pre-school services, etc. (Jackson, 11/15/83). These are Medicaid "vendor services" which had previously been funded by Title XX.

11. Title XX. These figures represent Title XX Federal funds from FY `77-FY `81 (`77 and `78 are extrapolated, see Note 9 above). FY `82-`84 figures are MR/DD expenditures under the Social Services Block Grant Program (Wilson, 11/8/83 telephone interview).

12. Other Federal Funds consists of education grant funds for an autism program (Jackson, 11/15/83 telephone interview).

13. Private ICF/MR expenditure figures were provided by Mr. Irv Ratcliffe, Research Analyst, Health Care Financing, Utah Department of Health (telephone interview 11/18/83). Ratcliffe provided total "IMR" expenditures, for both the training school and eight private facilities. Jackson, in an 11/14/83 phone interview, had indicated that these facilities range in size from 30 to 112 beds (average size 69 beds, total 549 beds). We subtracted the Institutional Services figures provided by Clay (telephone, 11/14/83) from the Utah Department of Health figures to arrive at the Private ICF/MR totals. Then, the same HCFA match rates were utilized, as indicated in Note 6 above, to separate expenditures into Federal and State shares.

VERMONT
STATE PROFILE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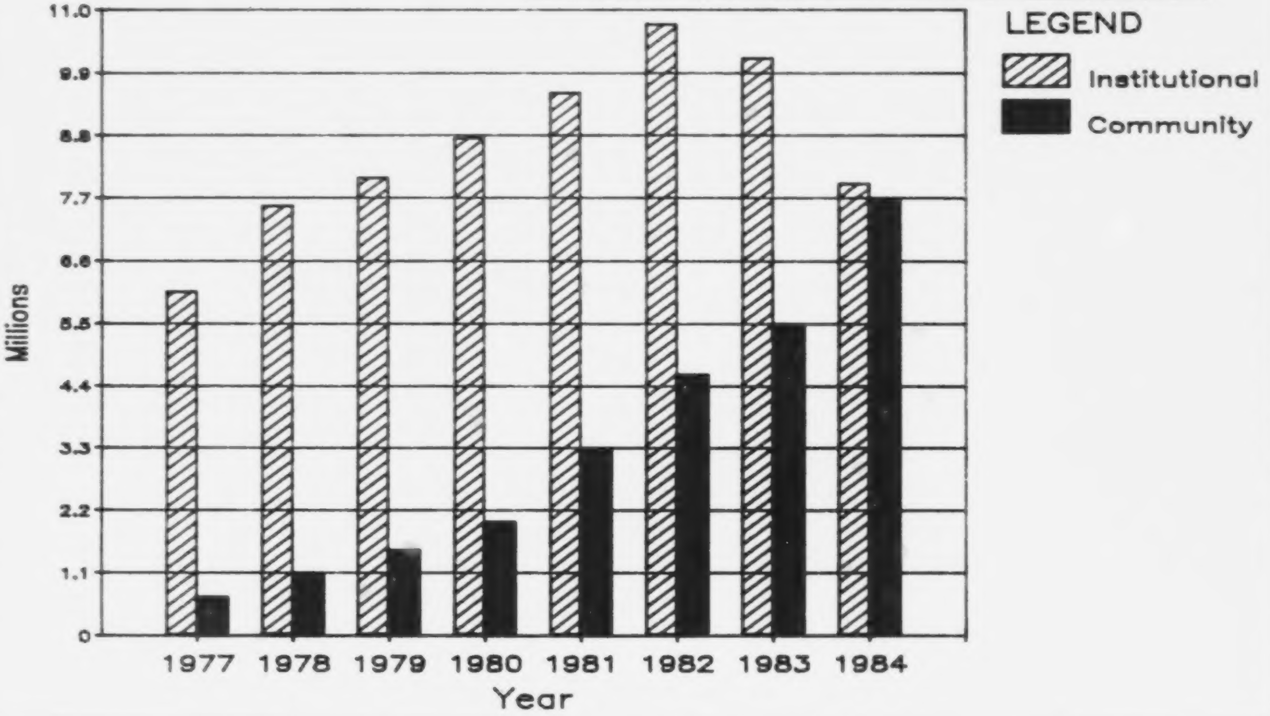
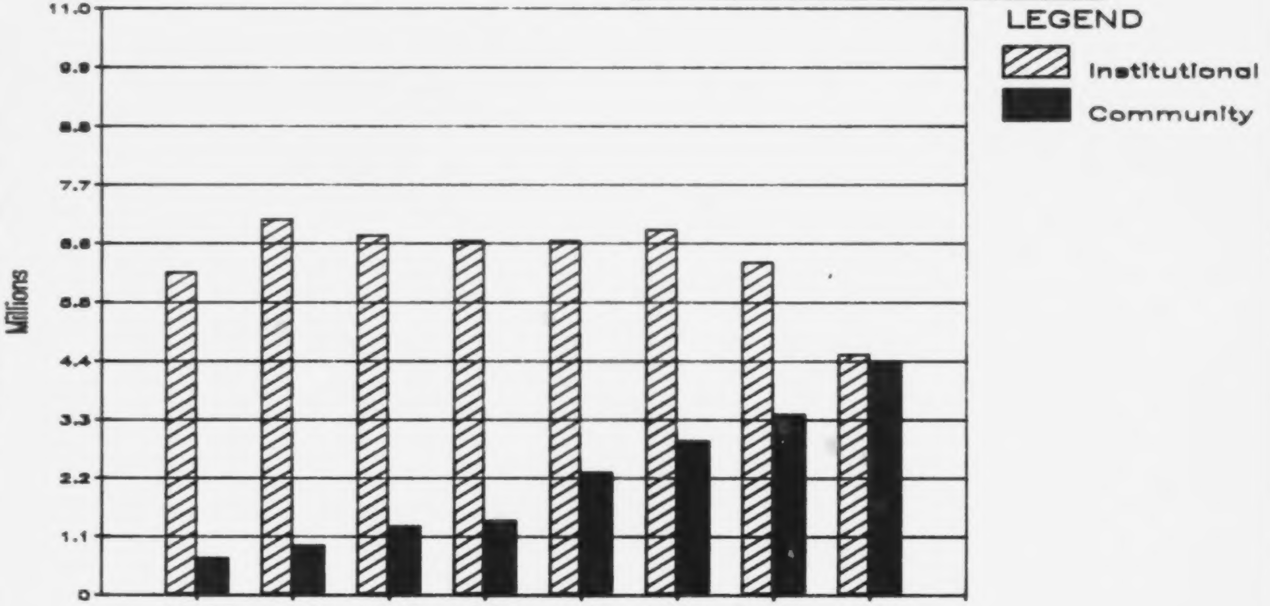
VERMONT
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

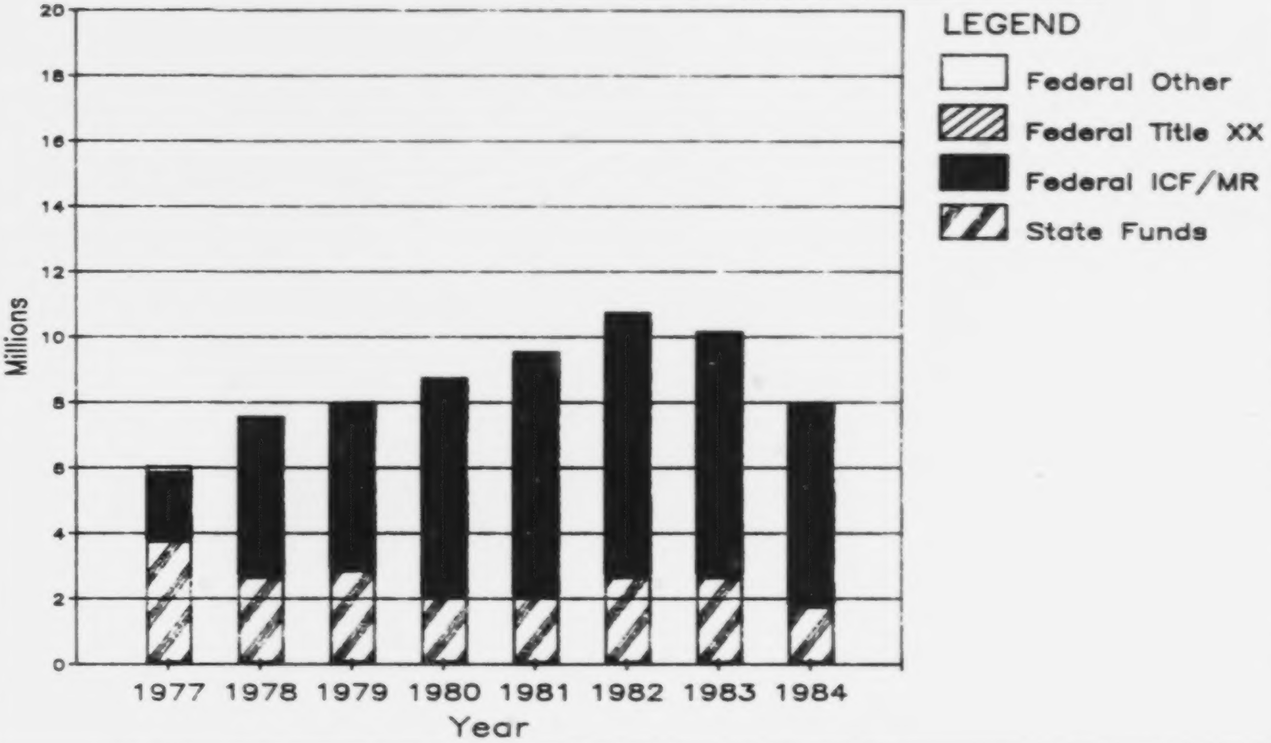


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

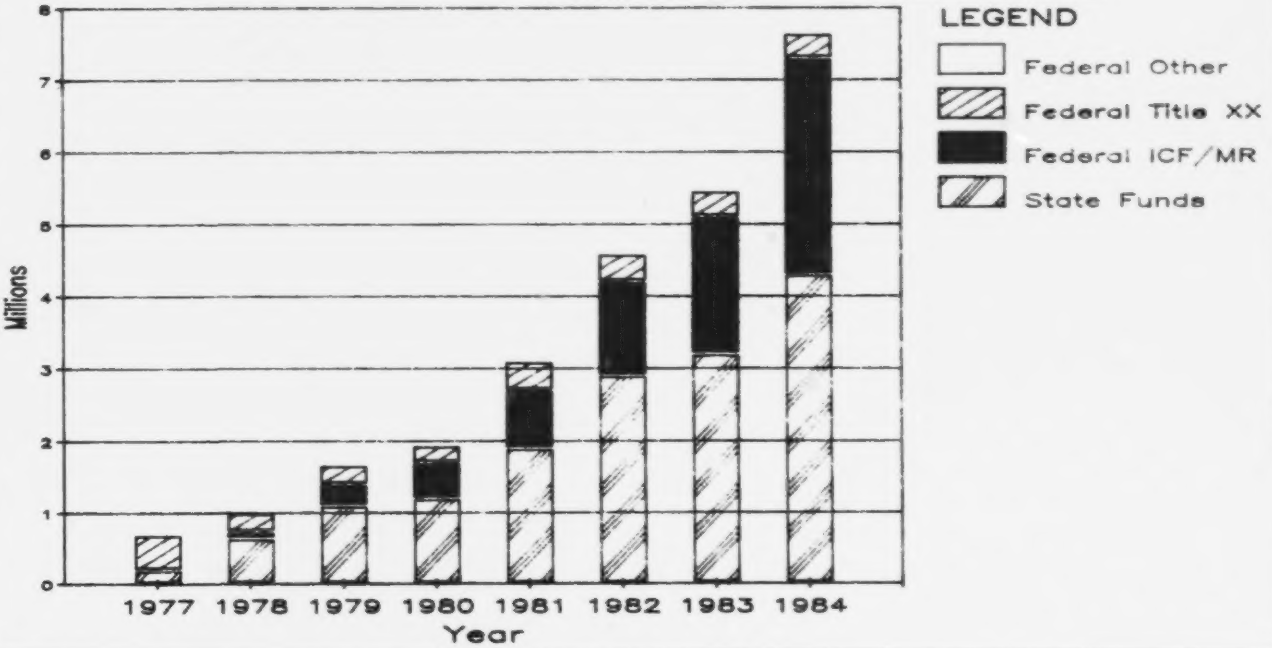
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMC

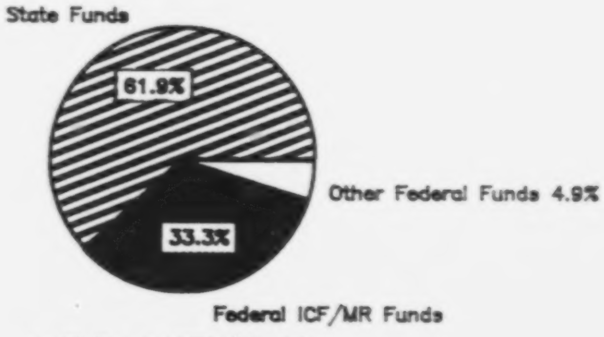
MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



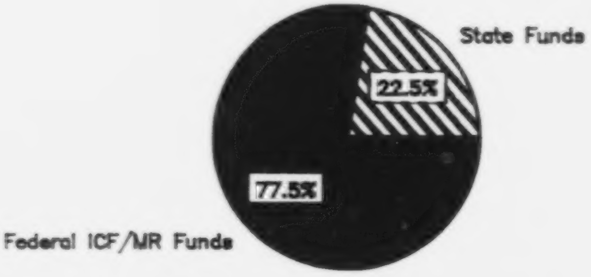
MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



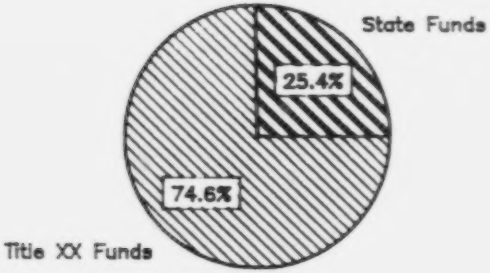
VERMONT
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



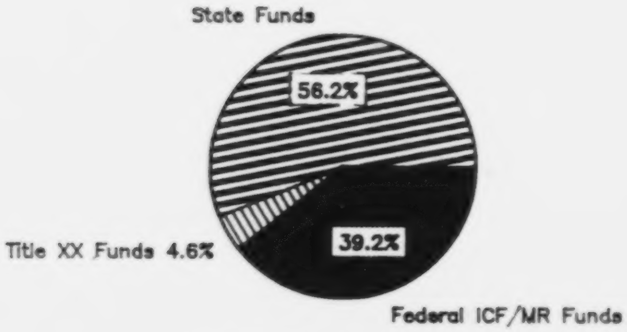
Institutional 1977: $6 Million



Institutional 1984: $8 Million



Community 1977: $674 Thousand

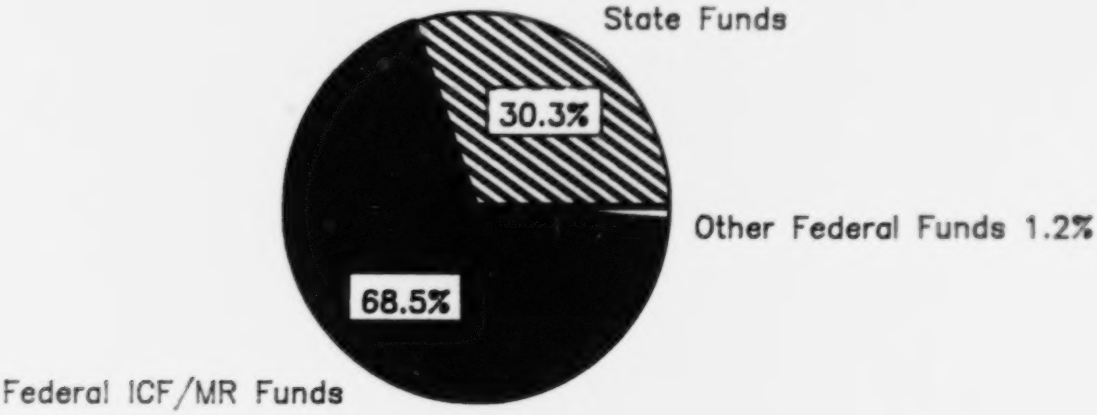


Community 1984: $7.7 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

VERMONT
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

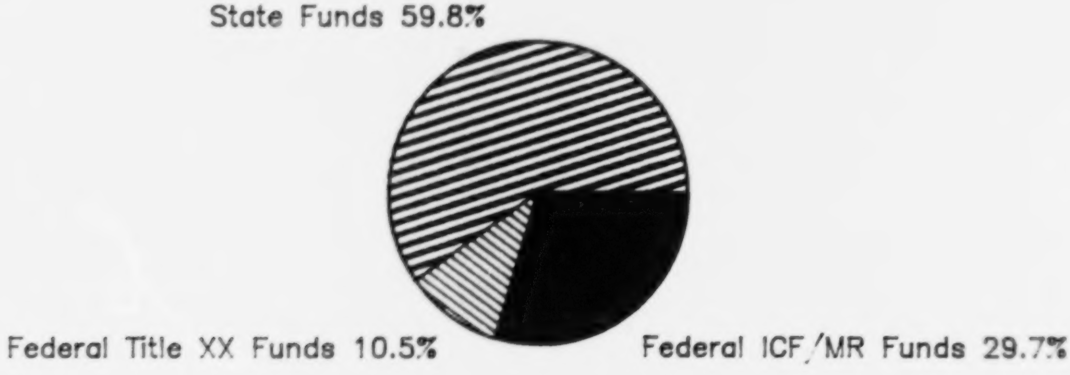
Institutional Services Funds



Total Institutional: $69 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

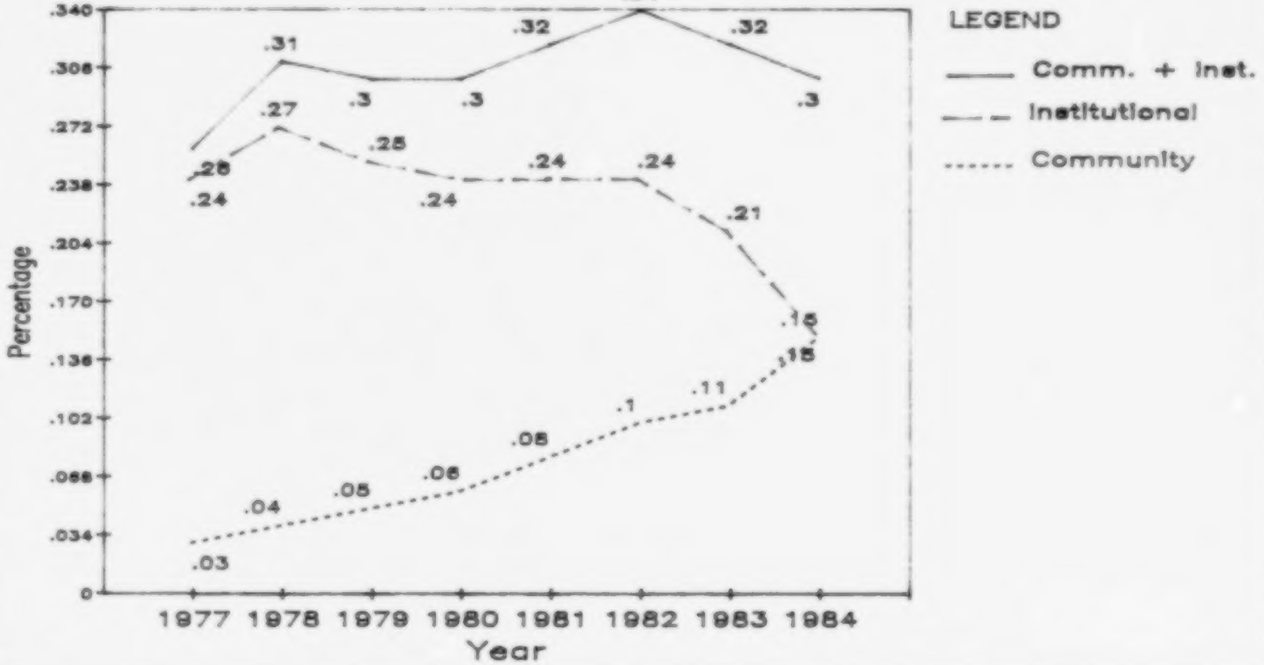


Total Community: $26 Million

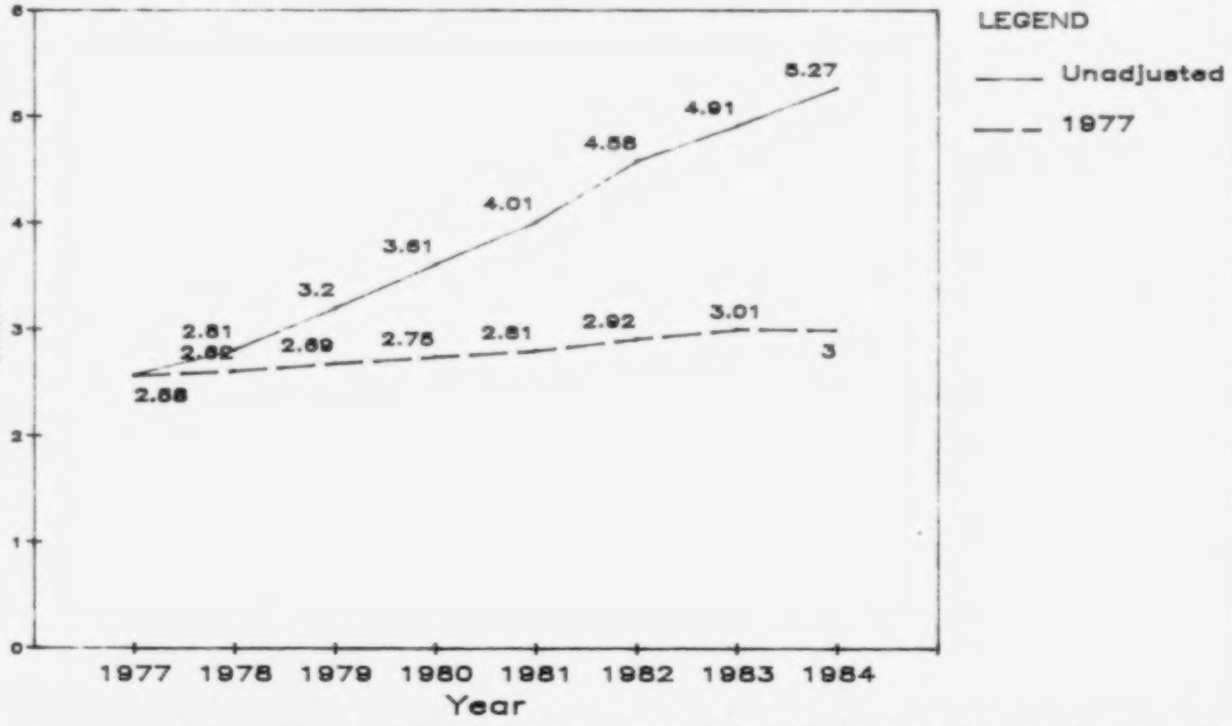
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



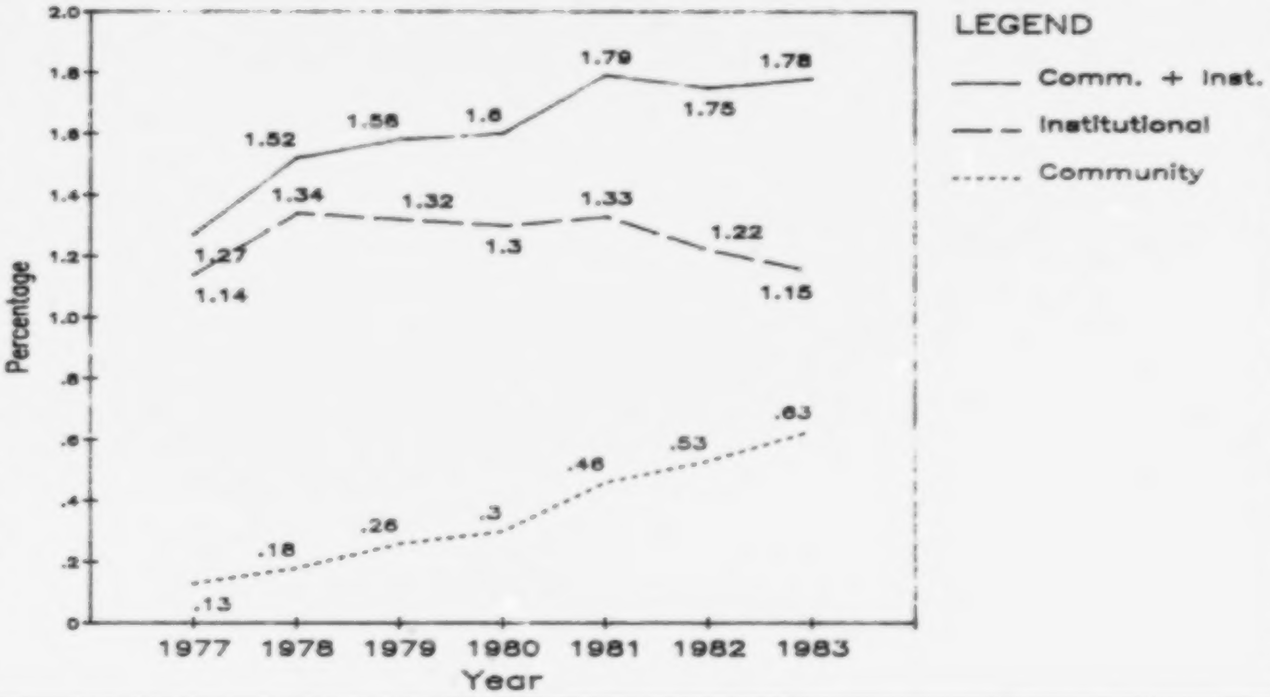
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



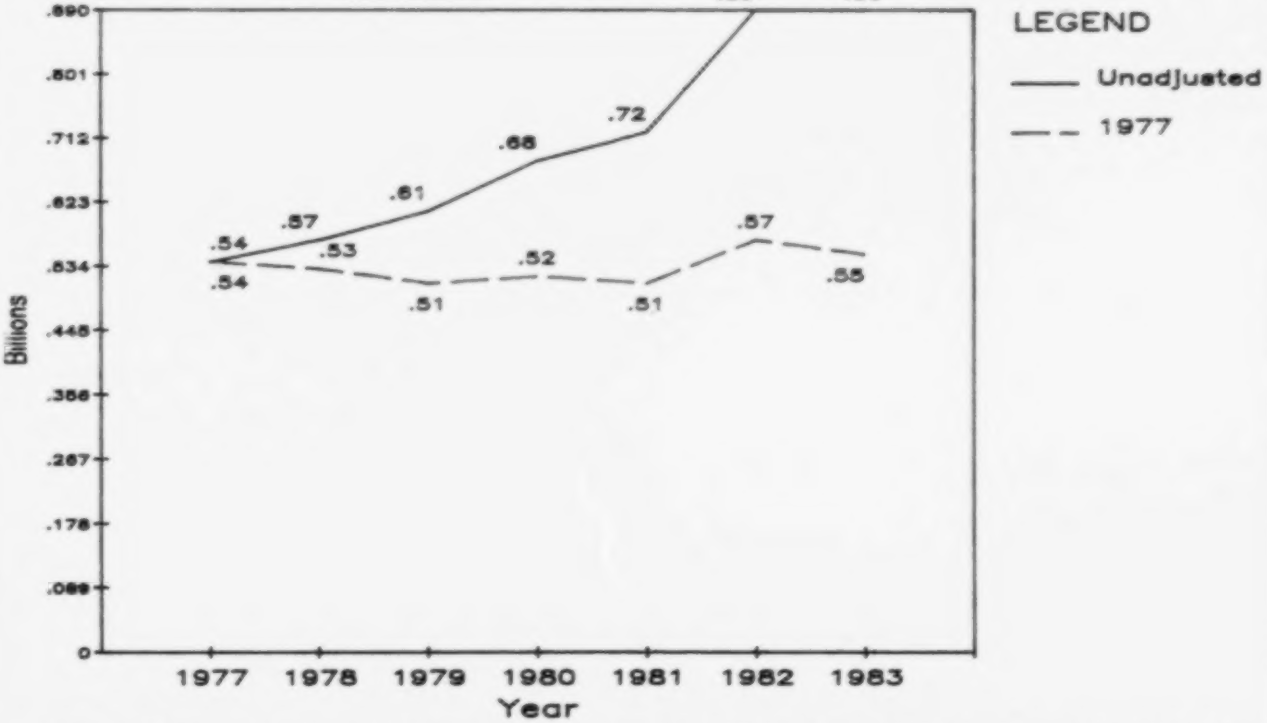
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



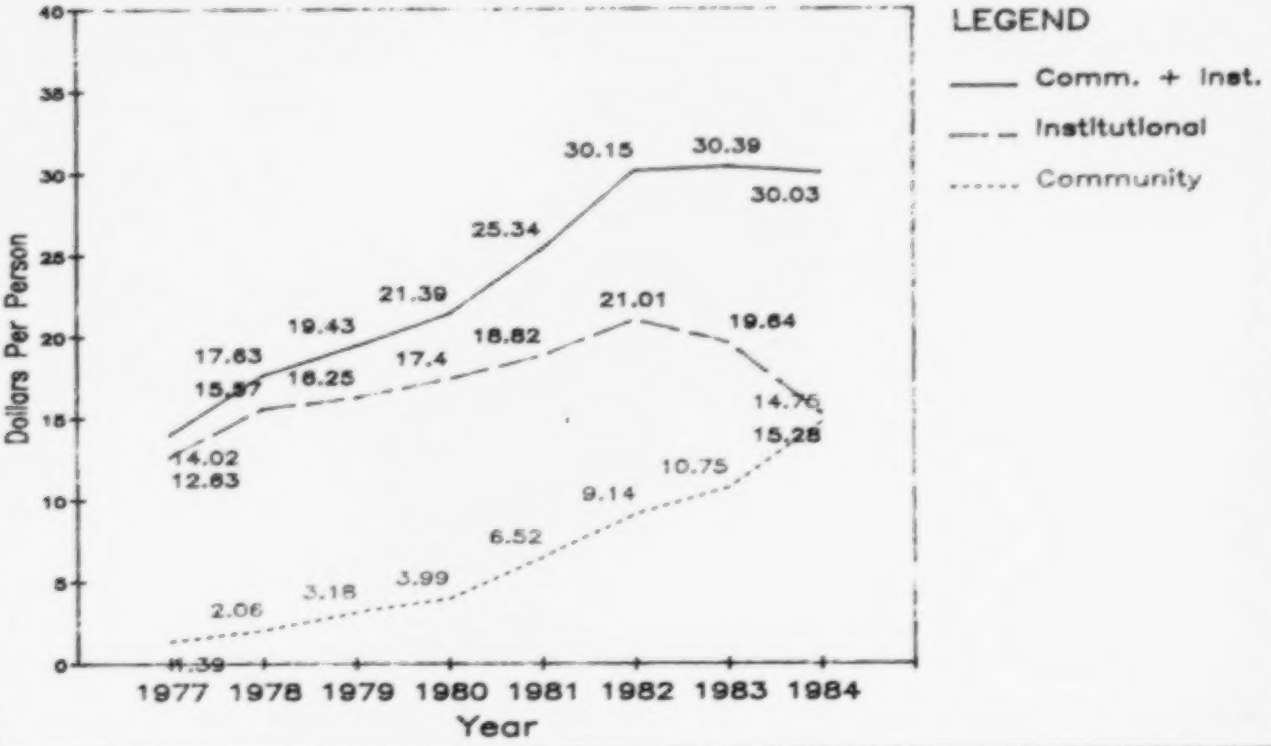
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



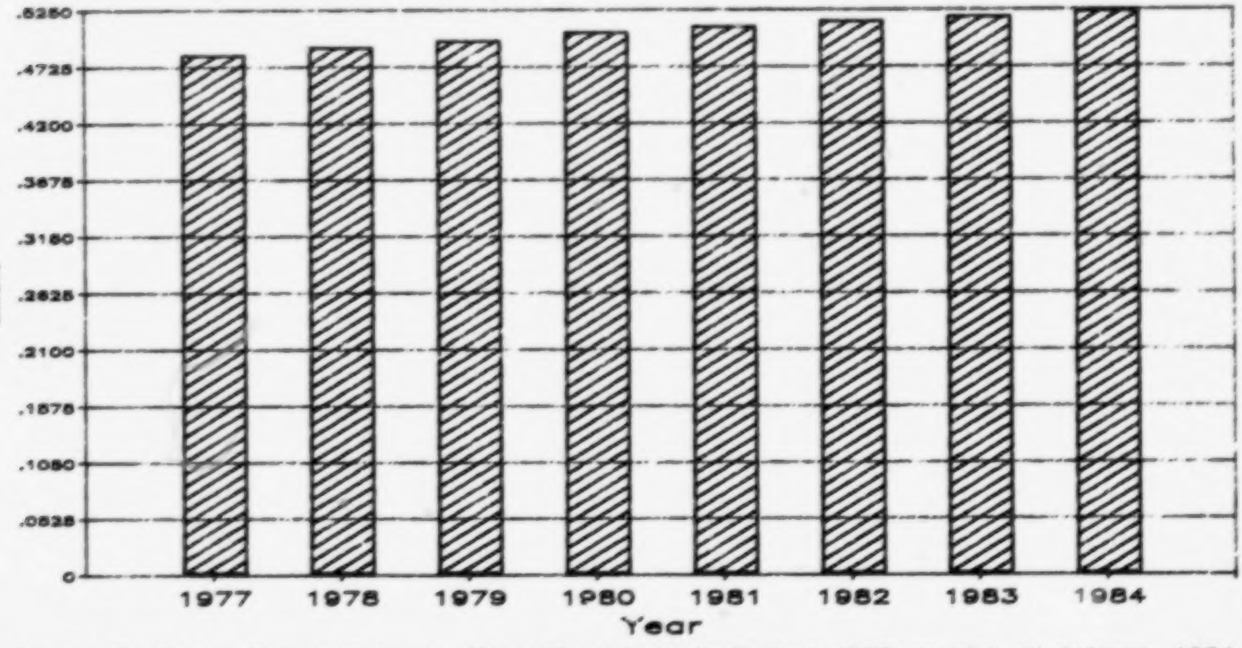
Source: Braddock, Hemp, & Howes, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



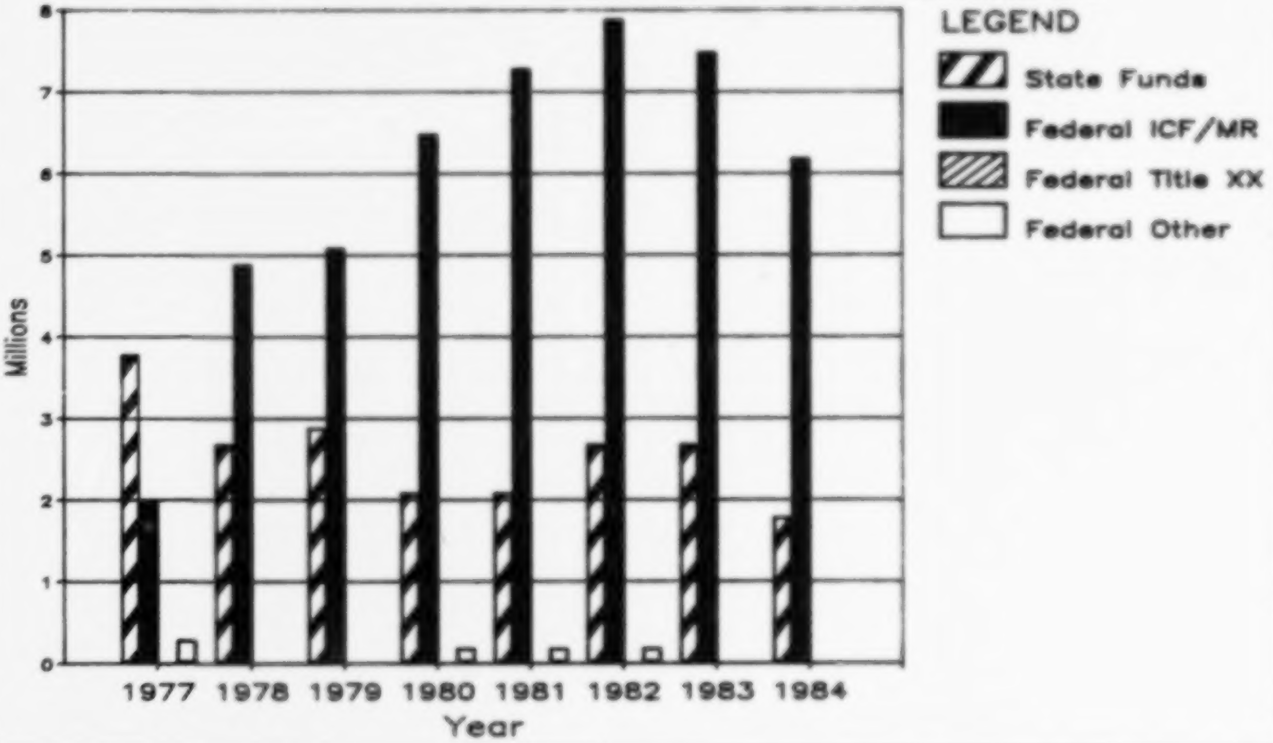
The Total State General Population FY 1977–1984



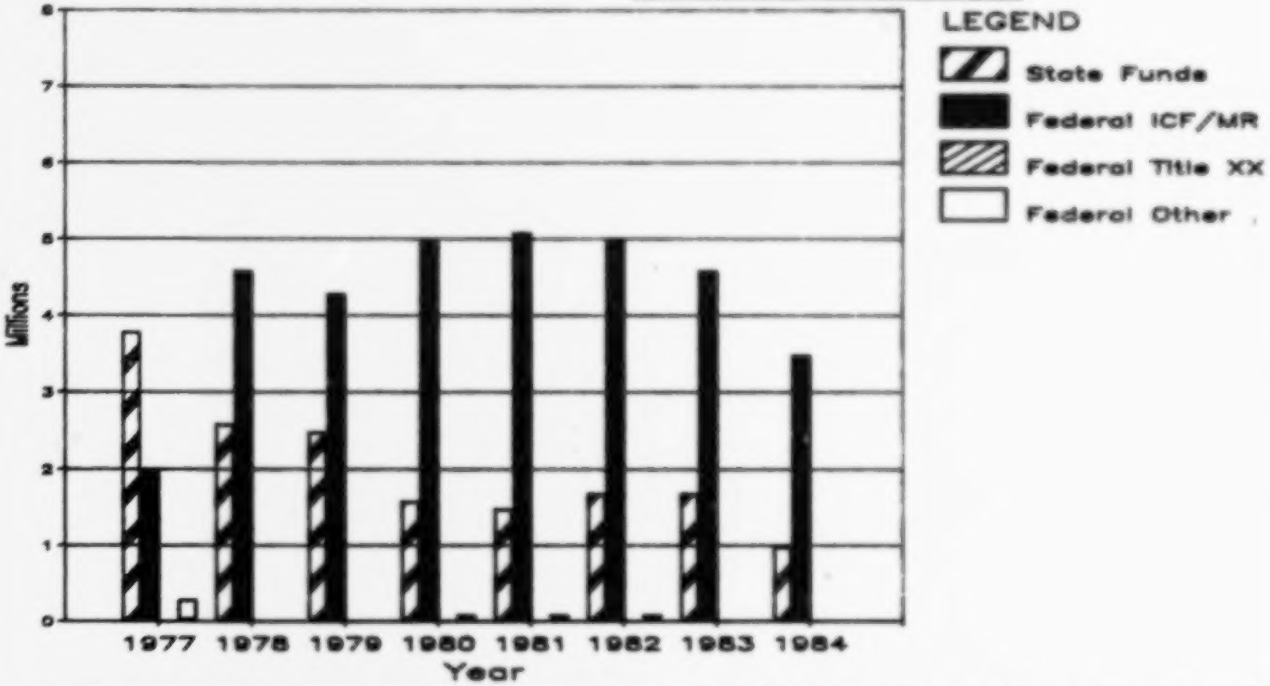
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

VERMONT

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



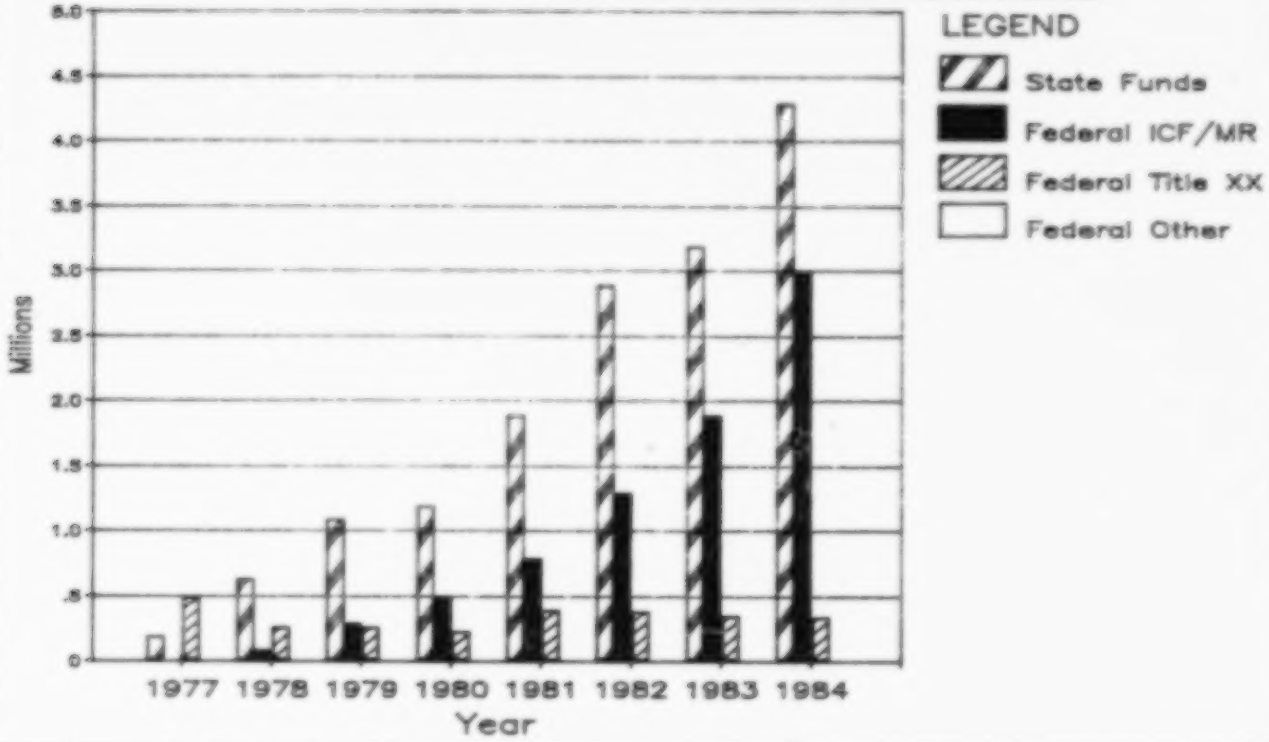
FY 1977–1984, *In 1977 Dollars*



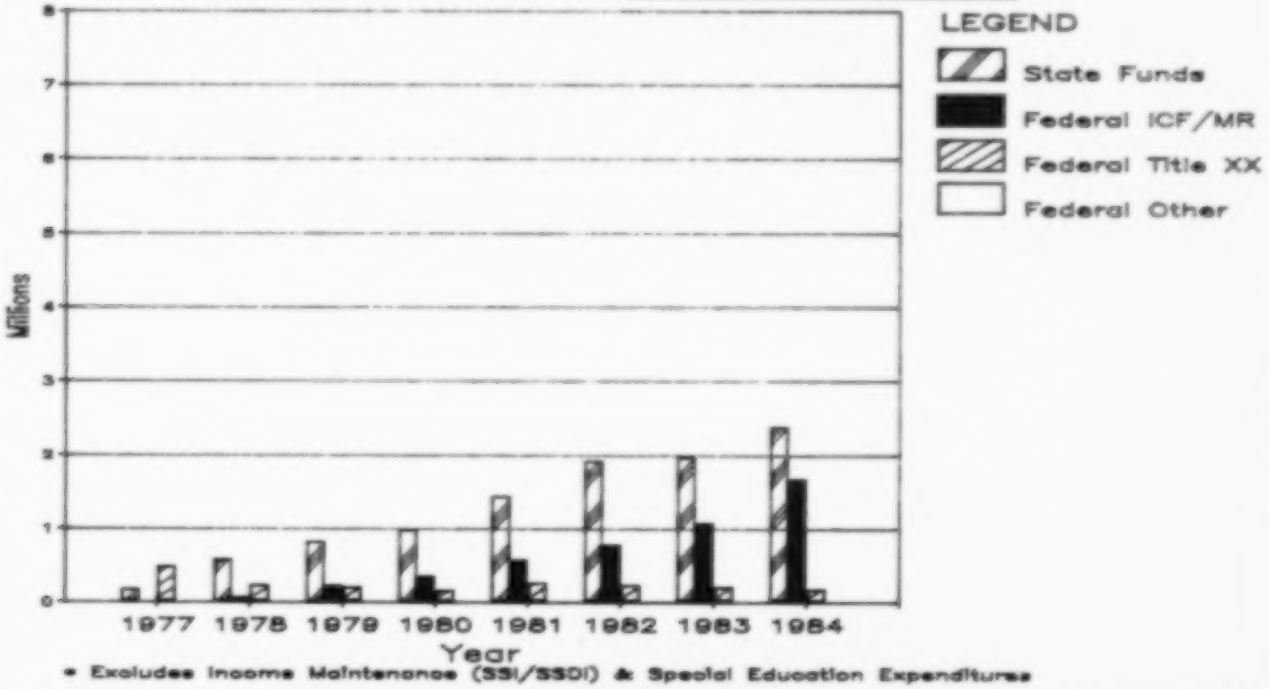
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977—1984, *In Unadjusted Dollars*



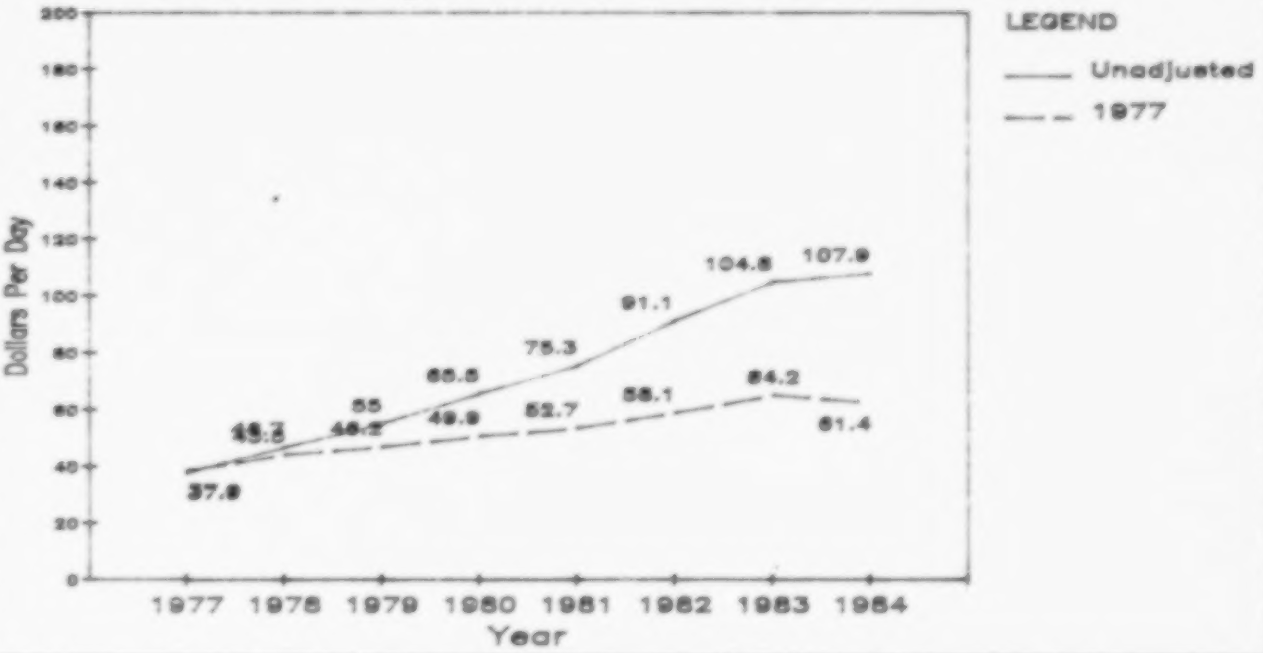
FY 1977—1984, *In 1977 Dollars*



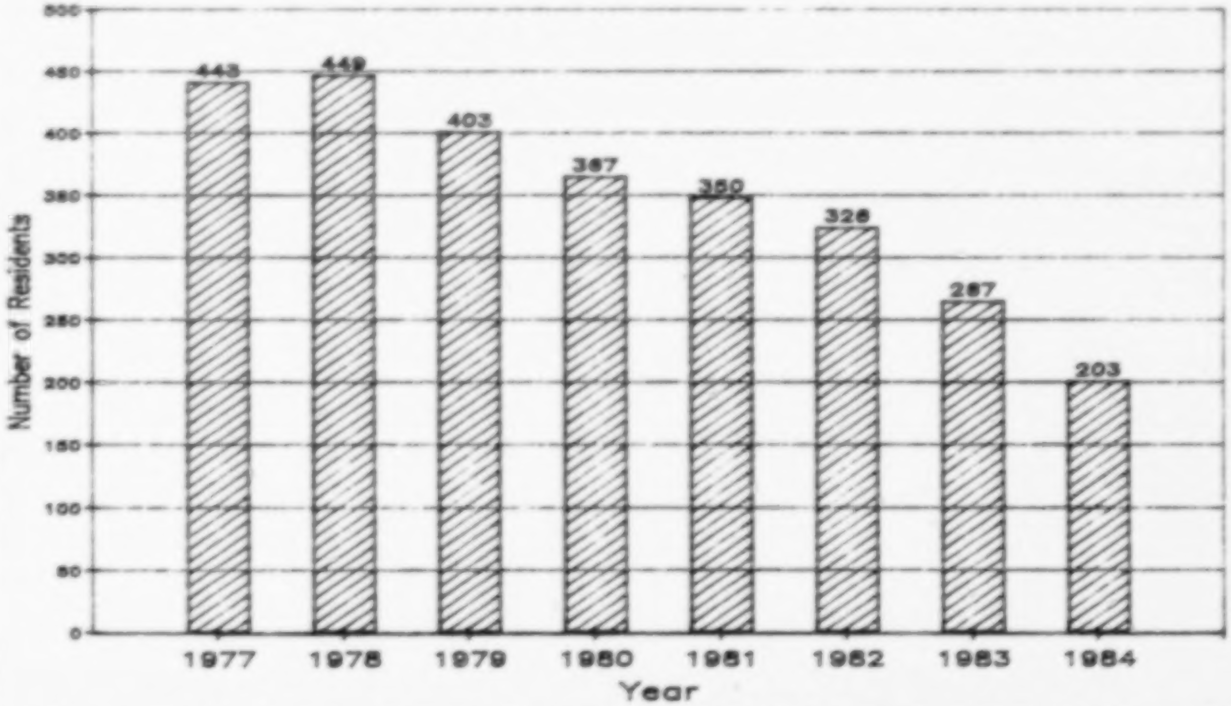
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VERMONT

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: The Department of Mental Health is within the Agency of Human Services. Within DMH are the following administrative components:

- Commissioner's Office
- Community Mental Health Programs
- Community Mental Retardation Programs
- Vermont State Hospital
- Brandon Training School

Community and Institutional Services budgetary components are "Community MR Programs" and "Brandon Training School." Each is a Division, reporting to the Commissioner of the Department of Mental Health.

2. Budget Format: Vermont's budget documents provided basic expenditure categories and "source of funds" for Brandon Training School and for Community M.R. programs as follows:

Expenditure categories -
  Personal services
  Operating expenses
  Grants
Source of funds -
  General
  Federal
  Inter-governmental transfer

3. Note on Data Sources: State of Vermont Executive Budget documents were reviewed for the FY '78 - '79, FY '80 - '81 and FY '84 - '85 Biennia; and the Executive Budget, Fiscal Year 1983, was also reviewed. From these documents, "actual" expenditure figures were available for FY '78, '81 and '82; "revised estimate" expenditures were found for FY '77, '79 and '83; and there were "Governor's Recommended" figures for FY '80 and FY '84.

To obtain greater detail on the sources of funds, and to obtain additional clarification of the program structure reflected by the expenditures, we contacted the Community MR Program Office on 9/15/83. Correspondence on 10/27/83 from Ms. Theresa A. M. Wood, Administrative Assistant, Community MR Programs, provided "actual expenditures" for FY '77 - FY '82, "estimated expenditures" for FY '83 and "requested" expenditure figures for FY '84, for the Brandon Training School and for Community MR Programs.

In a telephone interview (6/1/84), Ms. Wood provided the Title XIX and State General Fund expenditures for the "Giant Step" program, a unit at Vermont State Hospital providing services to individuals with dual diagnoses of mental retardation and mental illness. The Giant Step program was operational FY '78 - FY '83, and these expenditures are included in this analysis.

II. INSTITUTIONAL SERVICES

4. Institutional Services. The fund sources for the Brandon Training School for FY '77 - '84 were provided in the 10/27/83 correspondence from Ms. Wood. In a telephone interview (11/4/83) with Mr. Fred Thompson, DMH Business Office, it was noted that the Brandon figures reported by Ms. Wood as "Federal" are "...99% Title XIX." He further indicated that the figures reported as "Other" for Brandon are "inter-

departmental transfers, primarily education funds, and mostly Federal in origin." He concurred with our categorization of these as "Other Federal Funds" in this analysis. The State General Fund and Title XIX expenditures for the Giant Step program (see Note 3 above) are included.

The combined "average daily populations" at Brandon Training School and Giant Step program (the latter, FY `78-`83 only) have been:

FY 1977 - 443
FY 1978 - 449
FY 1979 - 403
FY 1980 - 367
FY 1981 - 350
FY 1982 - 326
FY 1983 - 267
FY 1984 - 203

III. COMMUNITY SERVICES

5. Community Services consists of funds for the "community mental retardation program." Figures were provided by Ms. Wood in her 10/27/83 correspondence. Subsequent phone discussions with other officials and with Ms. Wood provided additional detail on the Federal revenue sources (see Notes below).

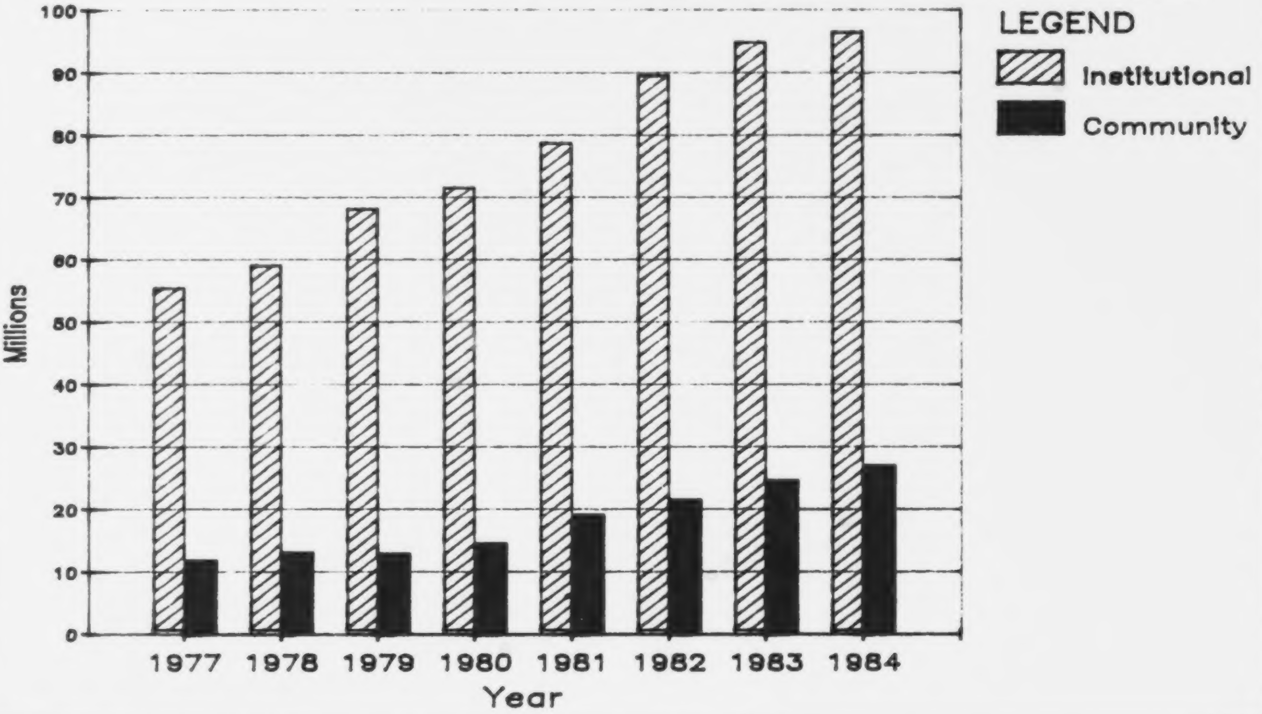
7. Title XIX (for FY `83 and FY `84 only) consists of Federal funds from the Community Care Waiver. The Waiver services are utilized to provide community-based alternatives for former residents of the Brandon Training School. These are the figures reported 1/13/84 by Tom Peterson, DMH (phone interview).

8. Title XX consists of figures reported in the 1/13/84 phone interview with Tom Peterson. The State match is included within the State General Funds category in our analysis.

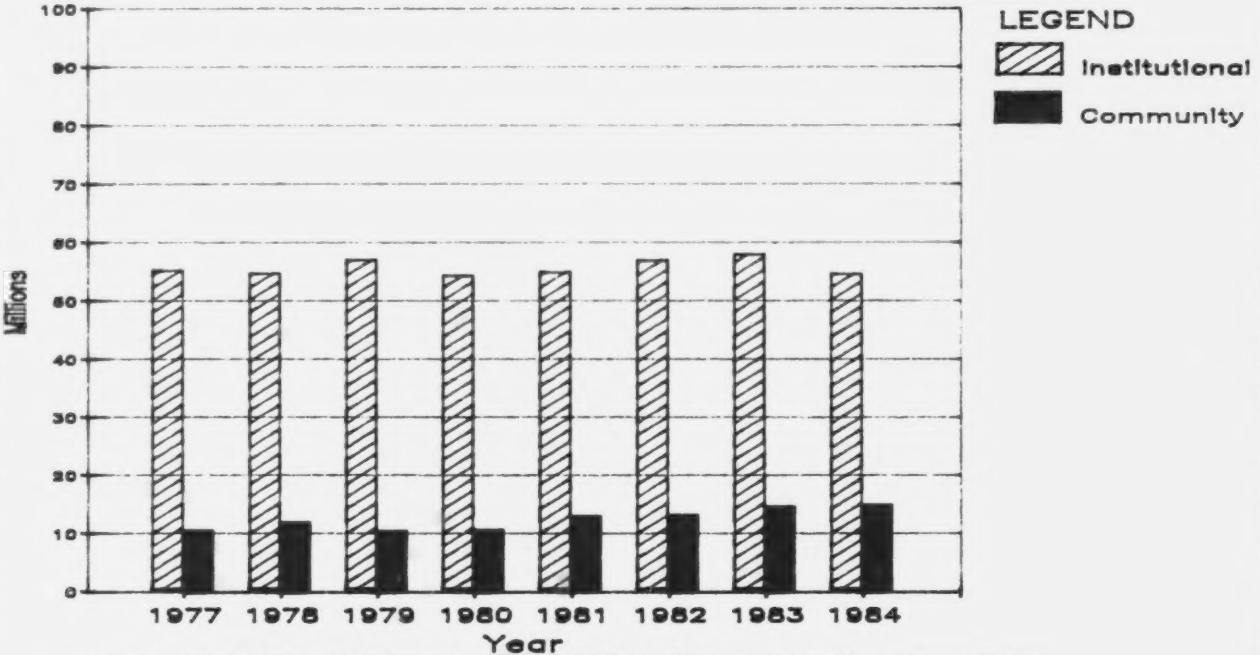
9. Private ICF/MR. These figures were provided by Ms. Wood in a 6/1/84 telephone interview. Vermont statutes require that the community ICF/MR programs be six beds or less. The facilities are either leased by a non-profit community mental health agency from a private owner, or are owned directly by that community agency. Funding is provided directly to the agency by the state's "fiscal intermediary" (Electronic Data Systems). The State`s "department of record" or single state agency for receipt of Title XIX Federal funds, is the Department of Social Welfare. This Department identifies a line item in its budget for the ICF/MR program. The Division of Rate-Setting administers rate promulgations and fiscal audits. DMH is responsible for services referrals; case management and client assessments; program approval, and initial budget authorization and rate review for the facilities. Expenditure figures were provided by Peterson (1/13/84 phone interview).

VIRGINIA
STATE PROFILE

VIRGINIA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

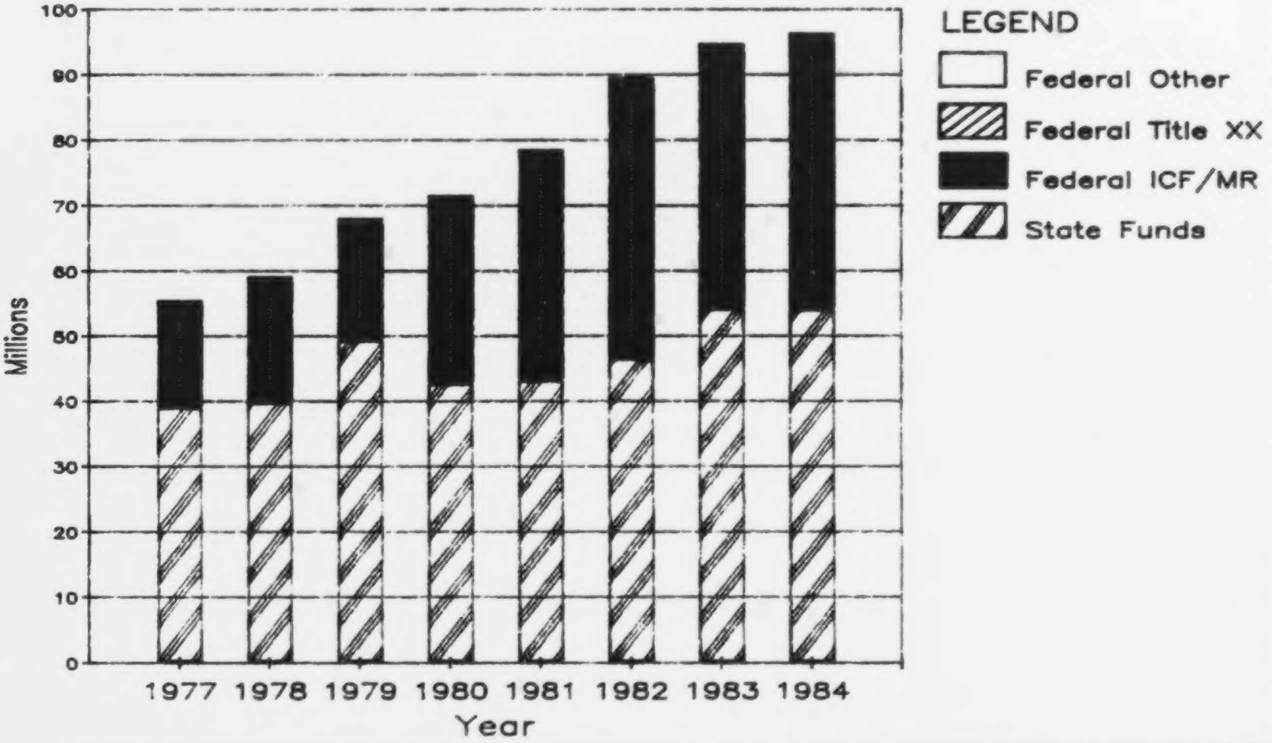


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

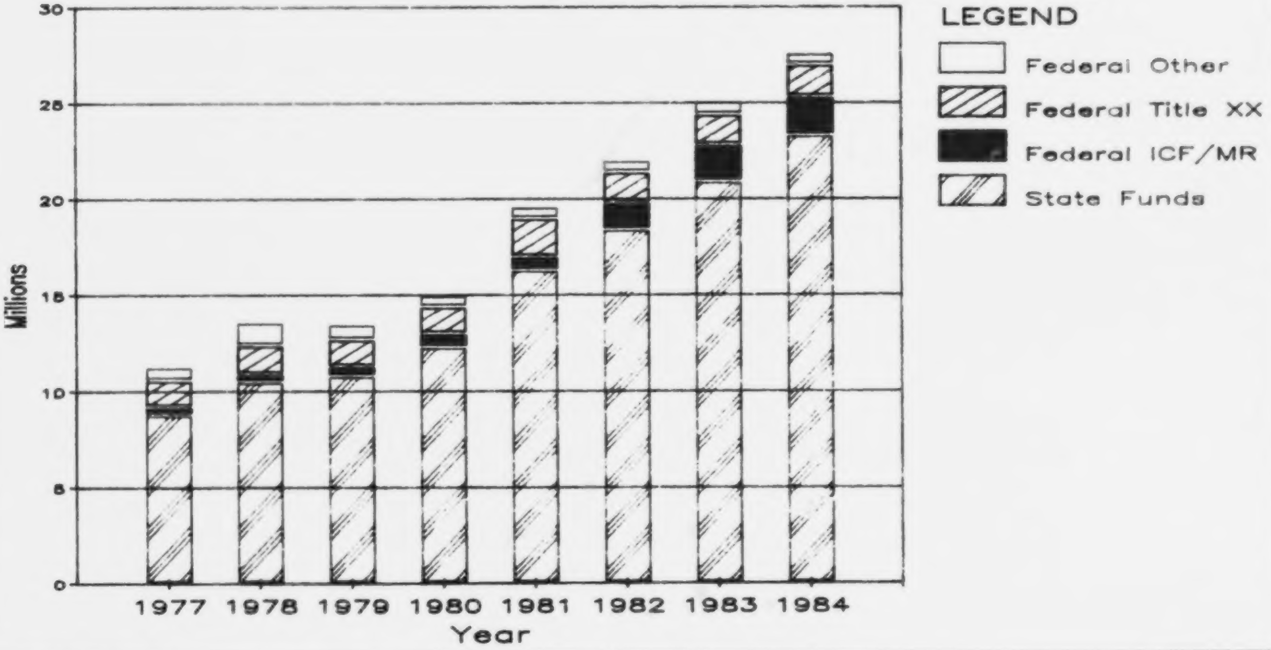
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

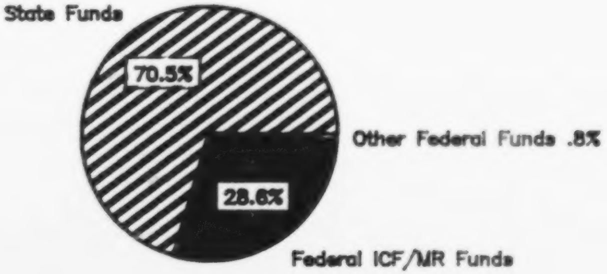
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



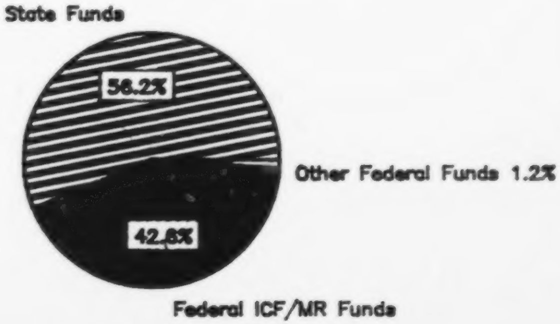
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



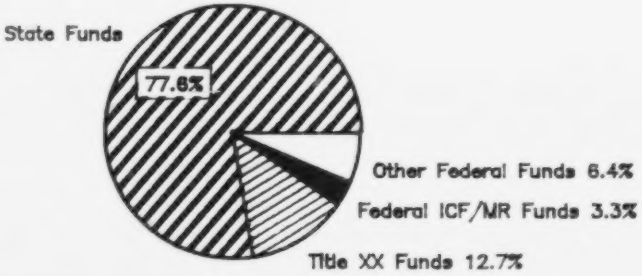
VIRGINIA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



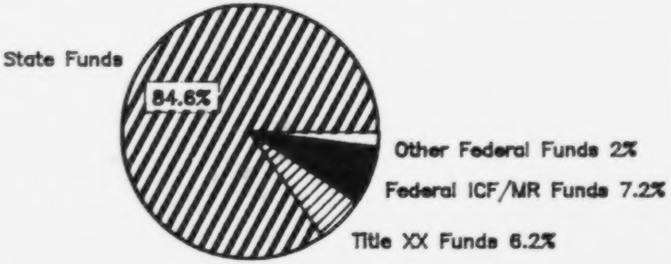
Institutional: 1977 Total Funds—$55.5 Million



Institutional: 1984 Total Funds—$96.5 Million



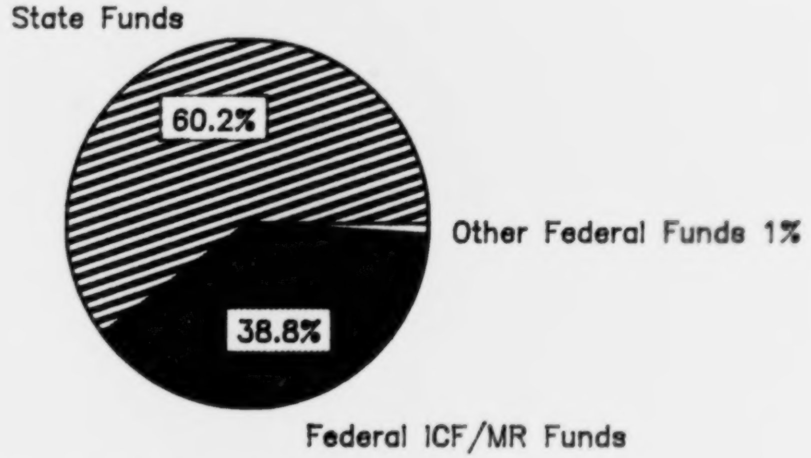
Community: 1977 Total Funds—$11.3 Million



Community: 1984 Total Funds—$27.5 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

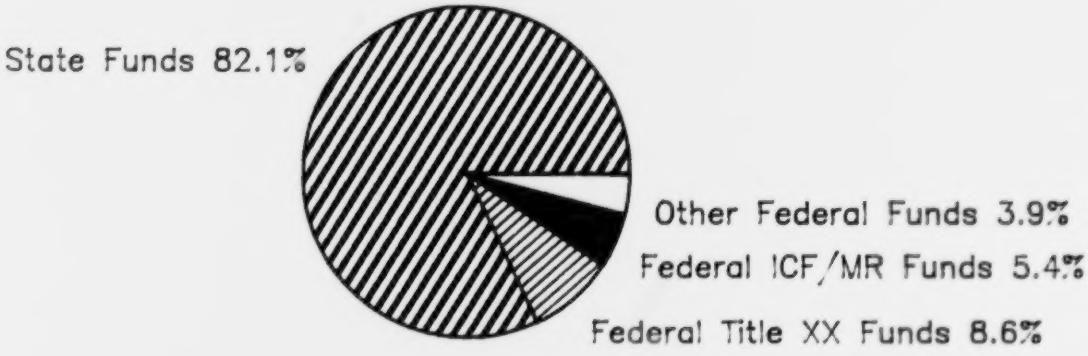
VIRGINIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984
Institutional Services Funds



Total Institutional Dollars: $614 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

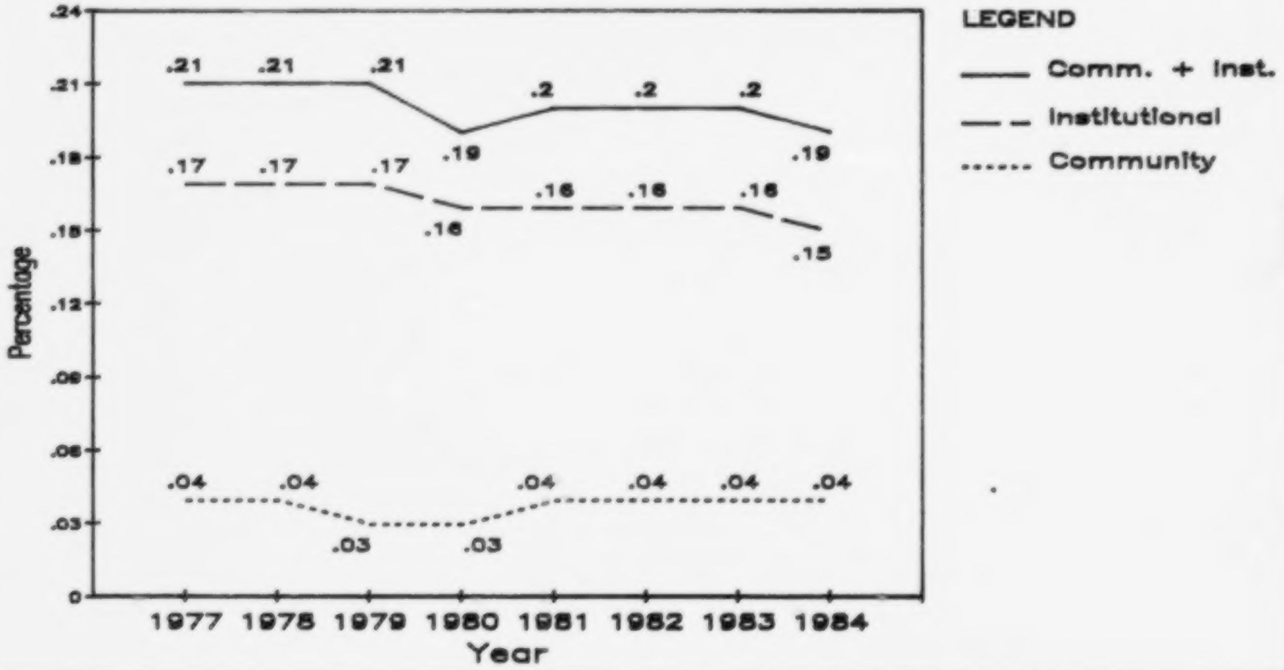


Total Community Dollars: $148 Million

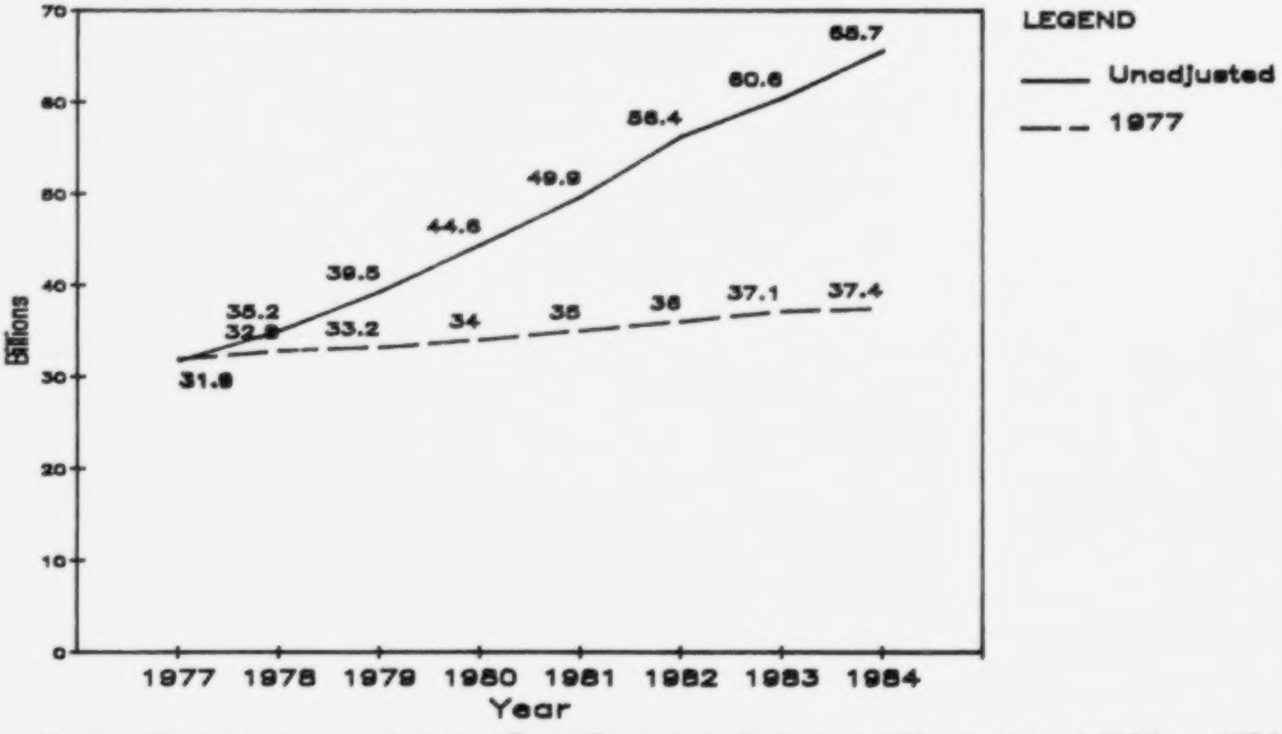
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



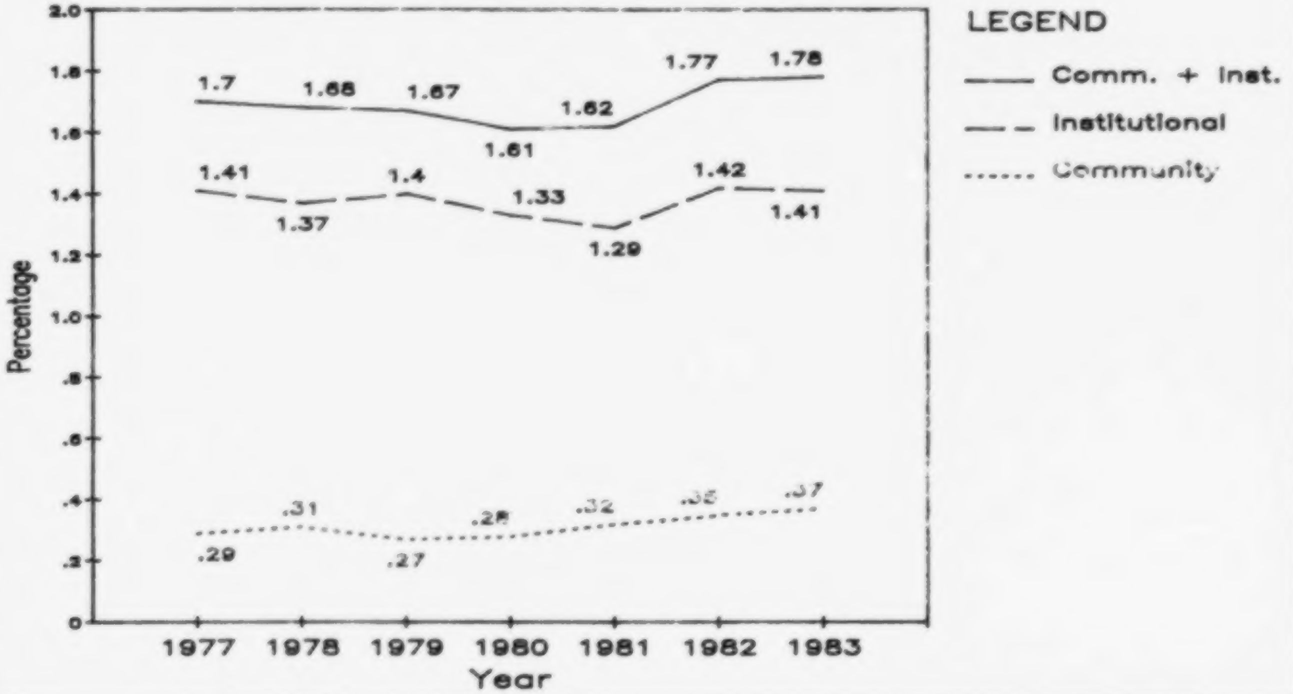
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



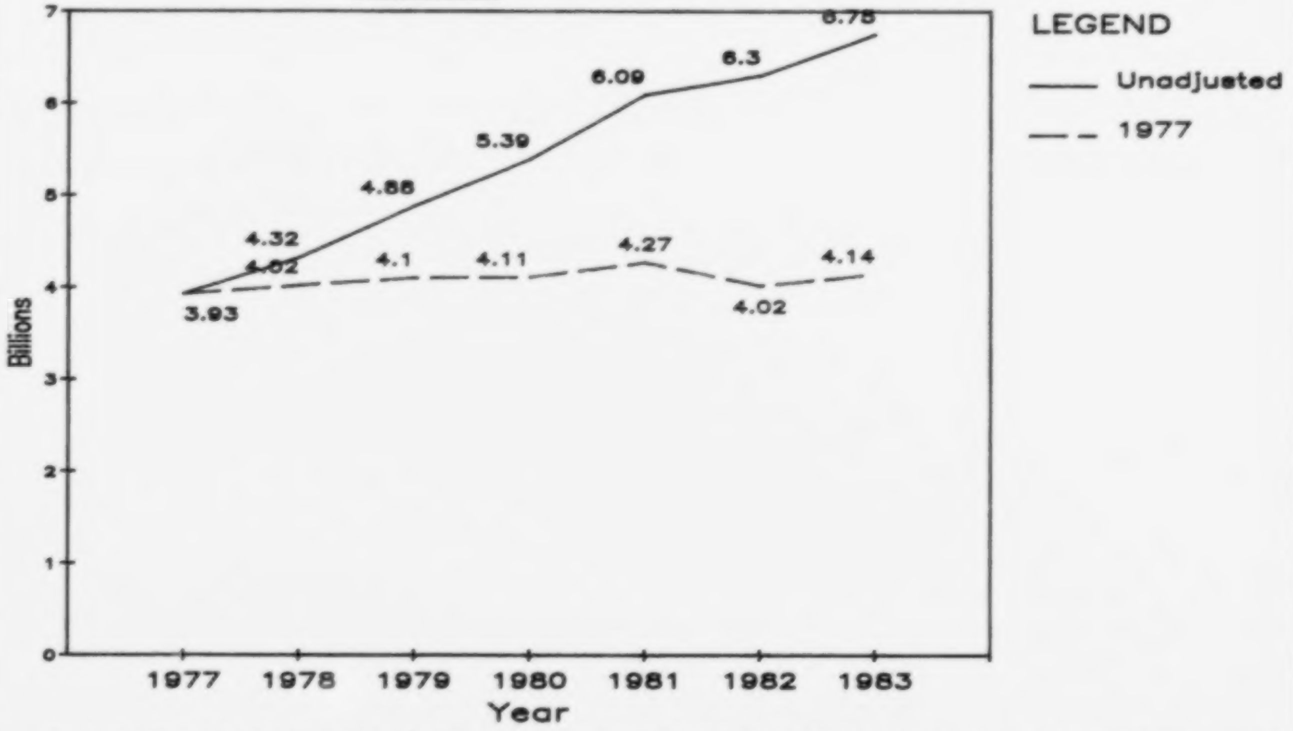
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



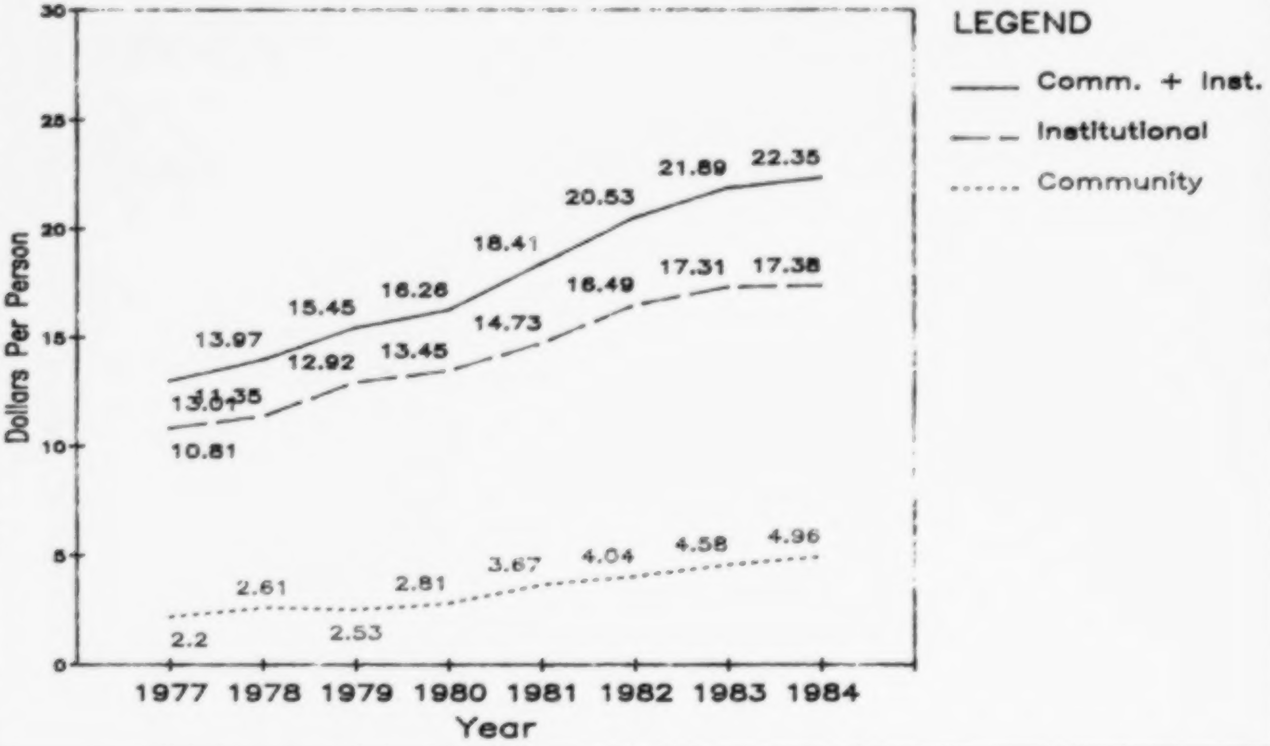
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



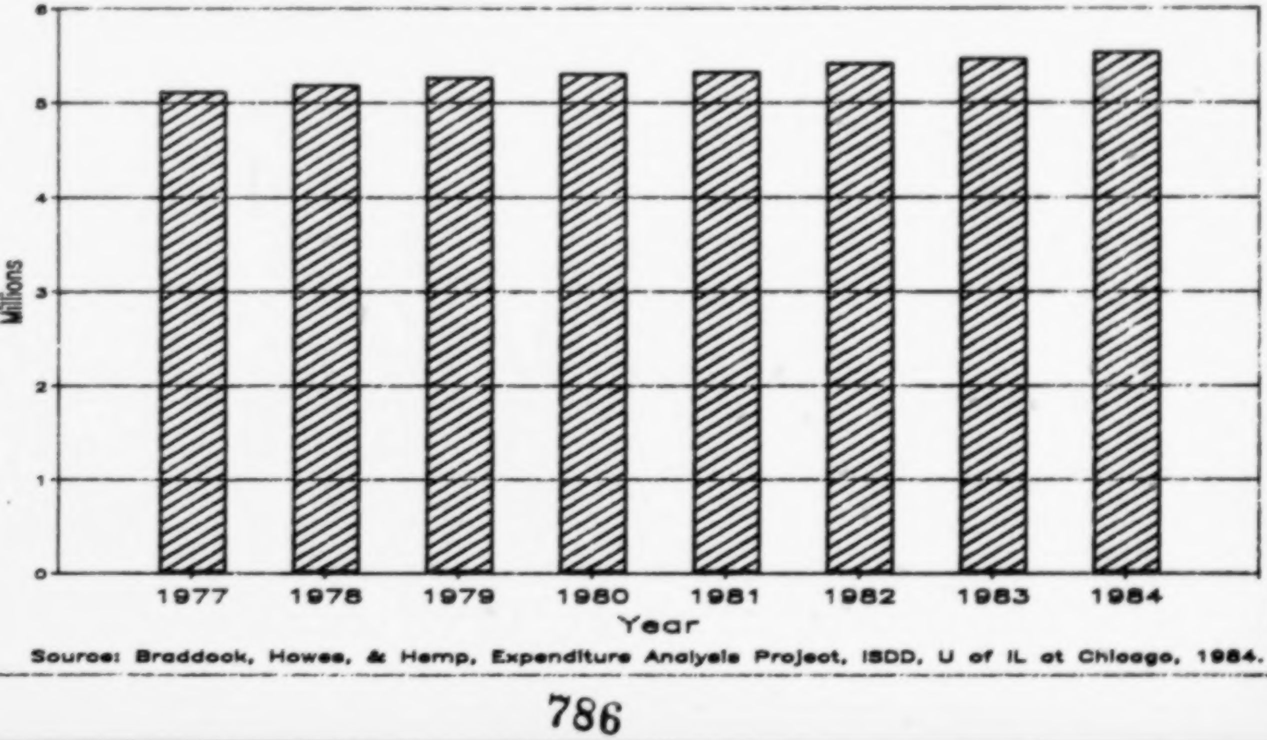
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

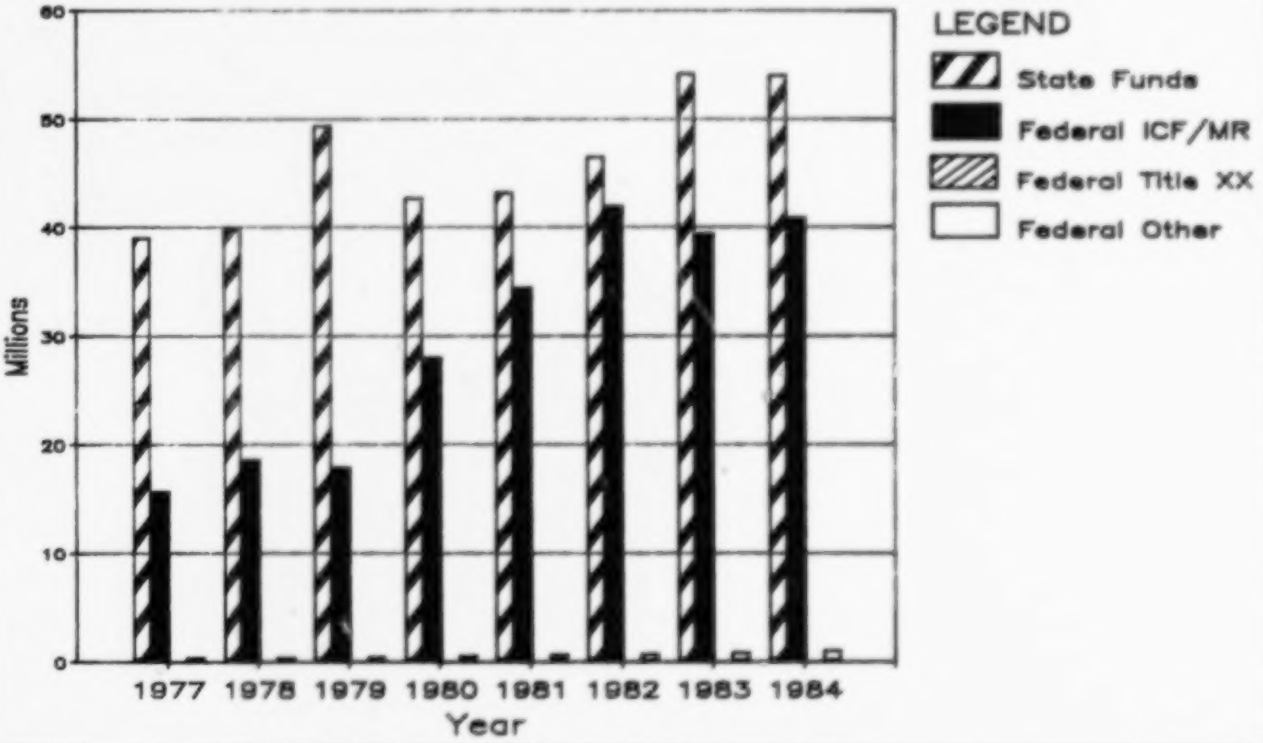


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

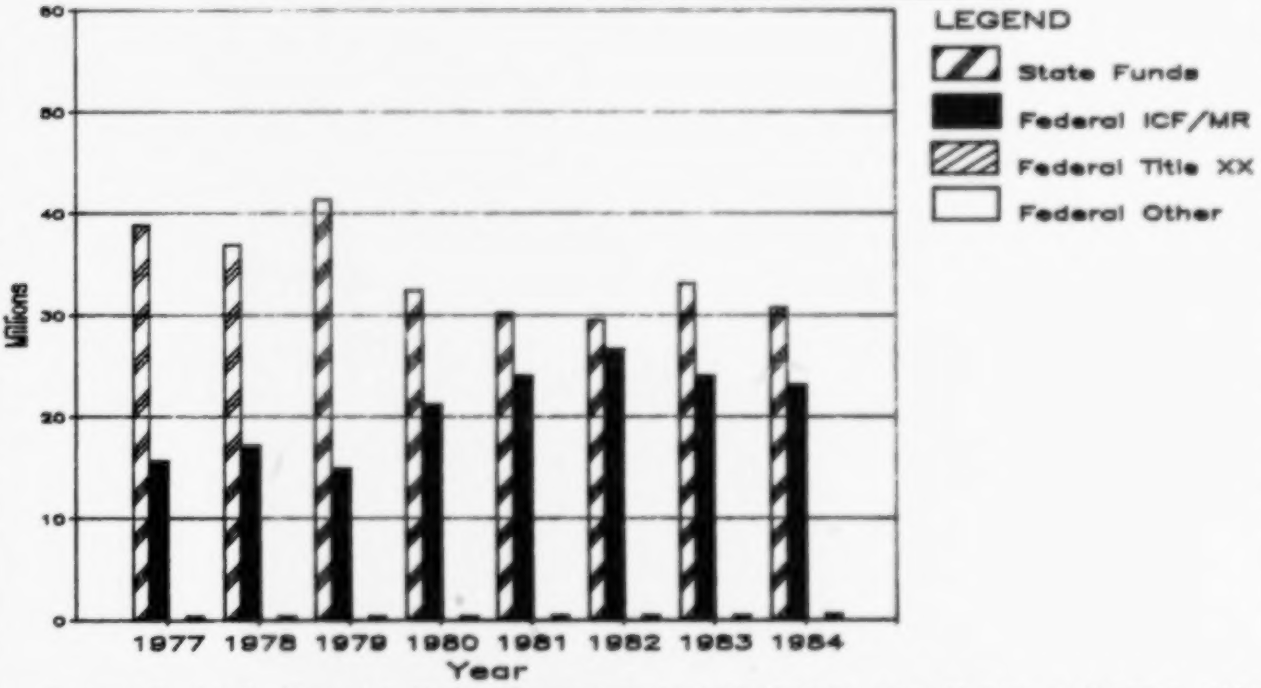
VIRGINIA

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



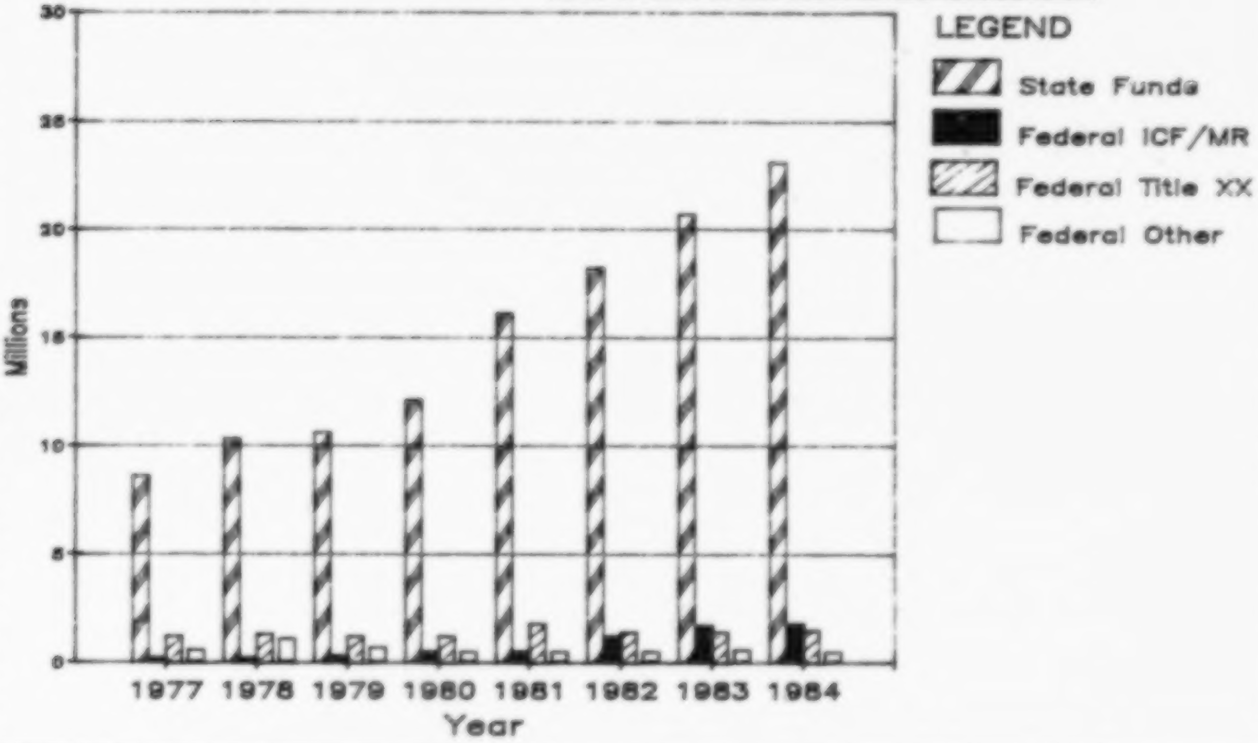
FY 1977–1984, *In 1977 Dollars*



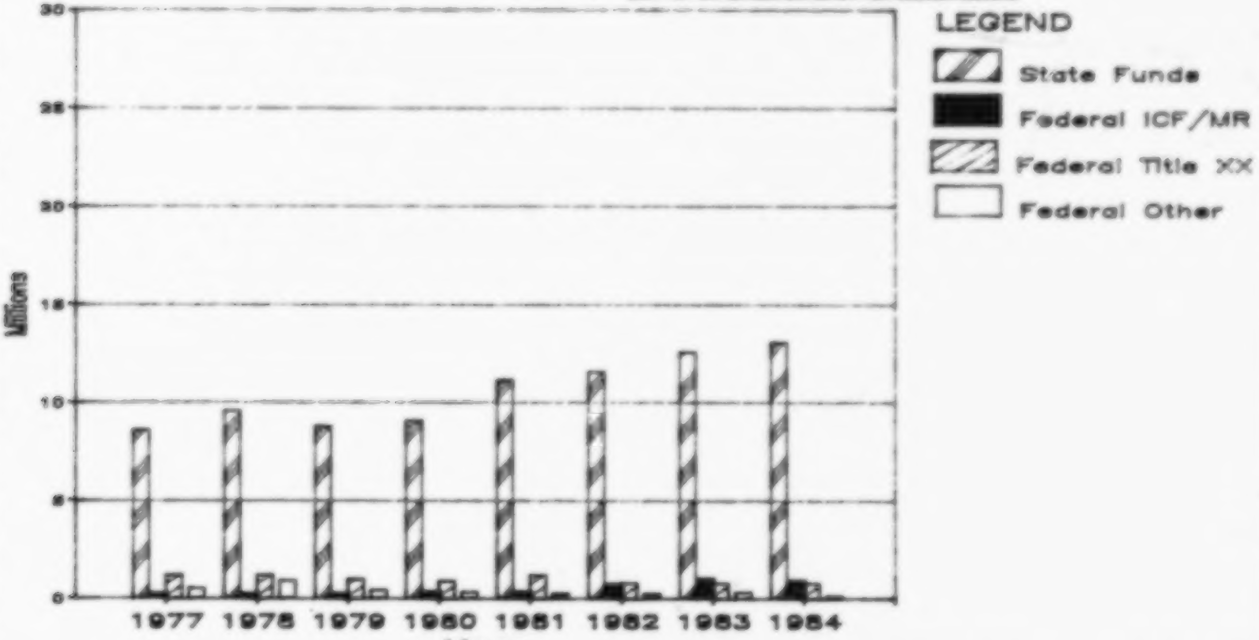
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



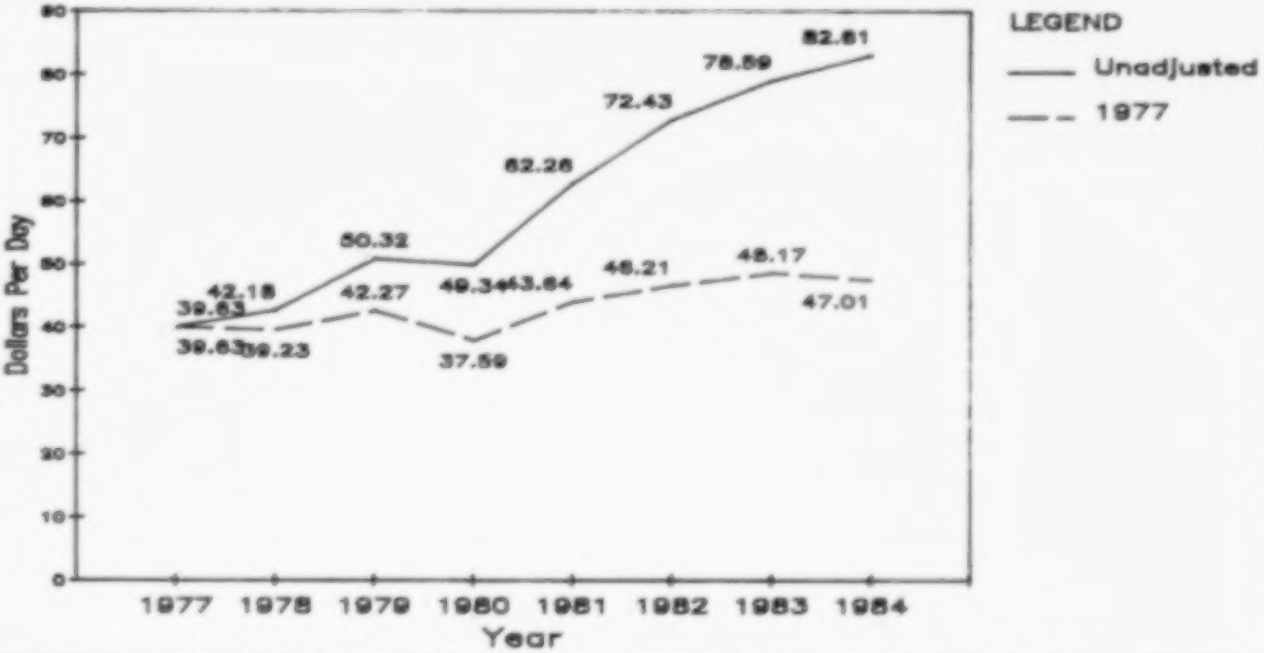
FY 1977–1984, *In 1977 Dollars*



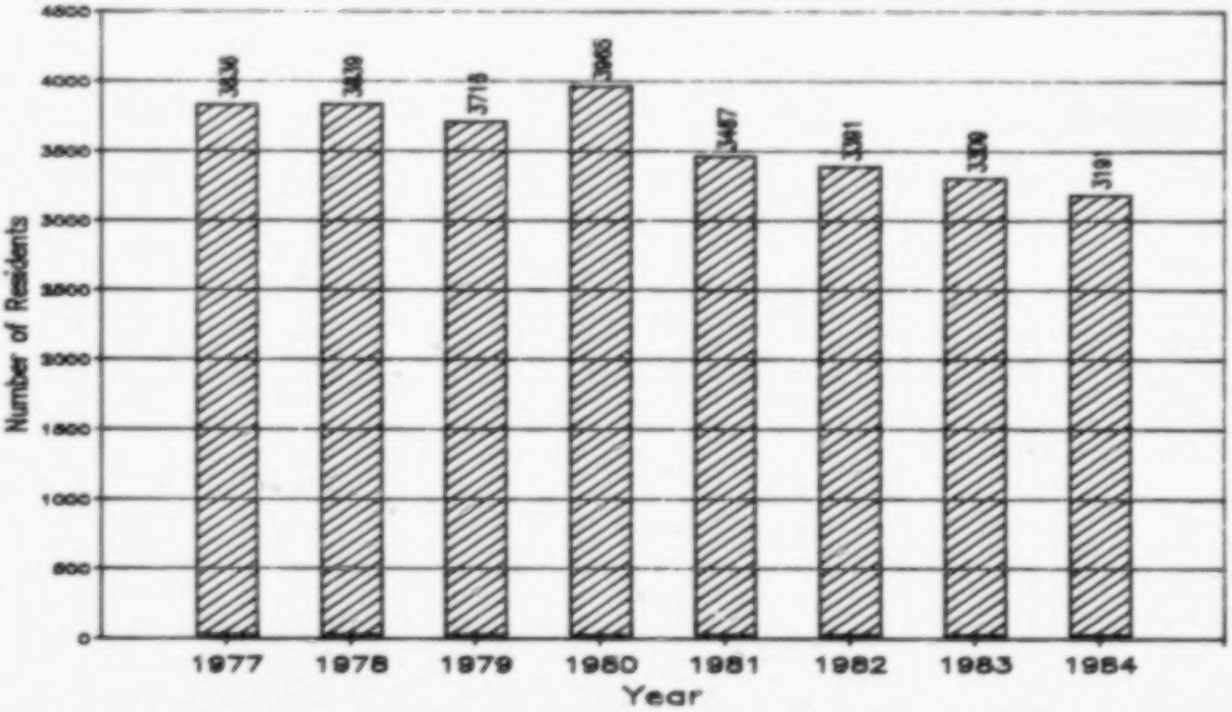
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

VIRGINIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Mental retardation services in Virginia are provided by the Department of Mental Health & Mental Retardation, through the Division of Mental Retardation.

2. Budget Format: The Virginia Executive Budget presents MR/DD expenditures according to the following categories (summarized). The years in parentheses after the line items indicate in which years those items appeared in the Budget.

   - Department of Mental Health & Mental Retardation
     - Central Office (1977-`84)
       - General Fund
       - Non-General Fund (later changed to Special Fund)
     - Capital Budget Total (1977-`84)
       - General Fund
       - Non General Fund
     - Administrative & Support Services (1977 -84)
     - State Health Services (1982-`84)
     - Financial Assistance for Health Services (includes Community Services) (1982-`84)
     - Regulation of Public Facilities (1982-`84)
     - Health Research Planning & Coordination (1982-`84)
     - Management Development & Employee Training (1982-`84)
     - Personnel Management (1982-`84)
   - Mental Retardation Services (1978-`82)
   - Mental Health Services (1978-`82)
   - Substance Abuse Services (1978-`82)
   - Southside Mental Health & Mental Retardation Support Unit (1977-`84)
   - Northern Virginia Training Center (1977-`84)
   - Lynchburg Training Center (1977-`84)
   - Southeastern Virginia Training Center (1977-`84)
   - Southside Virginia Training Center (1977-`84)
   - Southwestern Virginia Training Center (1977-`84)

   (each of the divisions above has the same funding source categories as are listed under the Central Office).

   In the Executive Budget, there are only two revenue sources, "General Funds" and "Non-General" (changed to "Special Fund"). "Special Fund" includes Medicaid, Medicare, private pay, insurance, and patient income. Robert Shakelford, Fiscal Administrative Services Director, DMHMR, supplied a detailing of the "Special Fund" with exact Medicaid amounts.

3. Note on Data Sources: The Commonwealth of Virginia's Executive Budget is biennial and does not provide sufficient detail on revenue sources for our analysis. Therefore, the Division of MR was contacted.

   Figures for FY 1977-`83 were provided by Robert Shakelford, Fiscal Administrative Services Director, DMHMR (letter, 9/26/83). Appropriations figures for FY `84 Community Services were provided by Tommy Lee, Fiscal Officer, DMHMR (telephone, 10/5/83). Institutional Services figures for FY `84 were provided by Armisted Ransone, DMHMR (telephone, 10/5/83).

4. In FY `77 and FY `78, the MR/DD program's budget did not include employee fringe benefits. Since FY `79 fringe is included. Shakelford (9/16/83 interview) recommended estimating the amount of fringe by assuming that personnel costs were 80% of the entire budget and fringe

benefits were about 12% of personnel costs. He also suggested distributing the fringe in the same proportion as non-fringe expenditures were distributed to the State General Fund, to Medicaid, and to Title XX for FY `77 and `78. These calulations resulted in the following amounts for fringe benefits, which were added to the Institutional and Community components of our analysis.

	INSTITUTIONS ($ in thousands)			COMMUNITY ($ in thousands)			
FY	TOTAL	TITLE XIX	S.G.F.	TOTAL	S.G.F.	TITLE XX	OTHER STATE
77	$4,500	$2,385	$2,115	$ 931	$381	$157	$393
78	4,792	2,881	1,911	1,130	491	144	495

II. INSTITUTIONAL SERVICES

5. Institutional Services includes funding for five state Training Centers and a portion of the South-Side Support Unit which supplies food services and building and grounds maintenance for one MR institution, one MH facility, and a Medical Center. Shakelford provided the exact figures for the portion of the Support Unit that is allocated for MR clients. The aggregated "June 30" population at the five institutions has been:

1977 - 3,836	1981 - 3,467
1978 - 3,839	1982 - 3,391
1979 - 3,716	1983 - 3,309
1980 - 3,965	1984 - 3,191

(Source: 1977-`80 figures from Budget document. 1981-`84 provided by Jim Hodges, DMHMR, Budget Office, 6/27/84.)

6. Other State Funds. Title XIX state-share funds appear as Other State Funds in our analysis. Also included is an estimate (6% of the total of institutions' budgets each year) of private pay and insurance, per telephone interview with Walt Kimpel, Assistant to the Administrative Services Director, DMH/MR (10/5/83).

7. Title XIX. The state and federal shares of ICF/MR funds are budgeted in Virginia in the "Special Fund" category in the Executive Budget. Mr. Shakelford (9/16/83 telephone interview) provided the exact state and federal Title XIX share figures. The federal share appears in the category of our analysis labeled Federal Title XIX in the Institutional Services funds component.

8. Other Federal Funds. Mr. Walt Kimpel supplied an estimate of the Other Federal Funds in institutional budgets. They are primarily P.L. 89-313, and national school lunch funds which amount to approximately 1% of the total institutional budget each year (telephone, 10/5/83).

III. COMMUNITY SERVICES

9. Community Services. The Executive Budget combines community funding for Mental Health, Mental Retardation and Substance Abuse. All Community Services funds are deployed by 40 Local Community Services Boards, which in turn contract with private providers to supply the services. Robert Shakelford supplied the Boards' MR expenditures, based on detailed Departmental cost reports (correspondence, 9/26/83). Walt Kimpel and Tommy Lee supplied the revenue source breakdowns (10/6/83 and 10/11/83).

COMMUNITY SERVICE BOARDS - MR SERVICES ONLY ($'s in thousands)

FY	TOTAL	S.G.F.	LOCAL	FEDERAL	FEES & OTHER
`77	$12,513	$ 3,979	$2,804	$ 718	$5,011
`78	15,219	5,123	3,439	1,172	5,483
`79	17,008	6,313	4,483	751	5,458
`80	18.590	7,595	4,819	602	5,573
`81	24,554	9,942	6,223	615	7,773
`82	27,339	11,922	6,825	627	7,964
`83	31,489	13,933	7,858	741	8,957
`84	34,142	16,074	8,171	551	9,346

Local funds are excluded from the present analysis; however, they are an important component in Community Services funding in Virginia.

"Fees and Other" in the Executive Budget were broken down for FY `82-`84 as follows, and the breakdowns for "Fees and Other" from `77-`81 are approximations based on FY `82-`84 utilization rate estimates supplied by Tommy Lee, Fiscal Officer (telephone, 10/11/83) ($'s in thousands):

FY	TITLE XIX			FEDERAL TITLE XX	DIRECT CLIENT FEES & INS.	WORKSHOP SALES & OTHER
	Total XIX	Fed. Share	State Share			
`77	$ 0	$ 0	$ 0	$1,277	$1,899	$1,834
`78	0	0	0	1,398	2,078	2,006
`79	0	0	0	1,391	2,068	1,997
`80	0	0	0	1,421	2,112	2,039
`81	0	0	0	1,982	2,945	2,844
`82	955	541	414	1,552	2,540	2,914
`83	1872	1062	810	1,630	2,651	2,803
`84	1953	1104	849	1,700	2,766	2,925

10. Other State Funds. The state share of Title XIX was recorded under Other State Funds in our analysis, along with "Direct Client Fees" and "Workshop Sales." According to Lee, there are also some federal rehabilitation services funds in the "Fees and Other" category but the exact amounts are small.

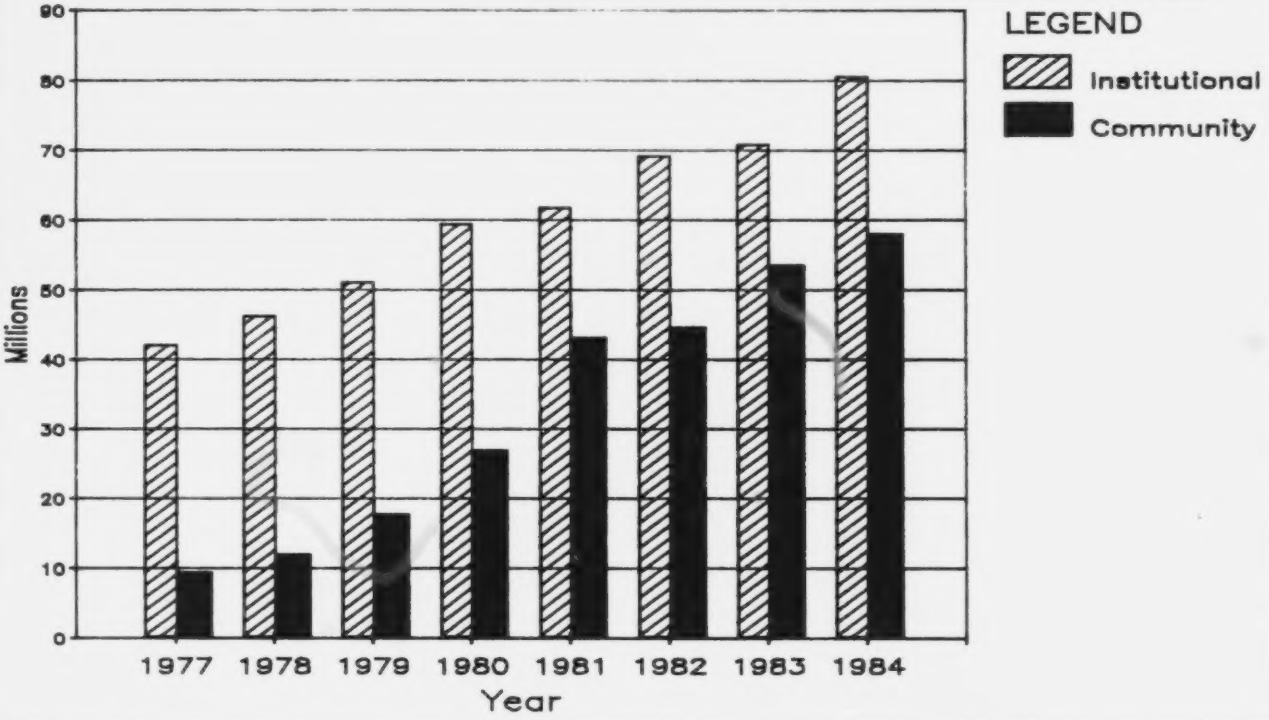
11. Title XIX. Local Boards began operating community ICF/MR's in FY `81, with one ten-bed facility, according to Carol Singer Metz, DMHMR Community Specialist (telephone, 10/5/83). Expenditures do not appear in the Virginia budget until FY 1982.

12. Other Federal Funds are primarily Federal DD Act monies.

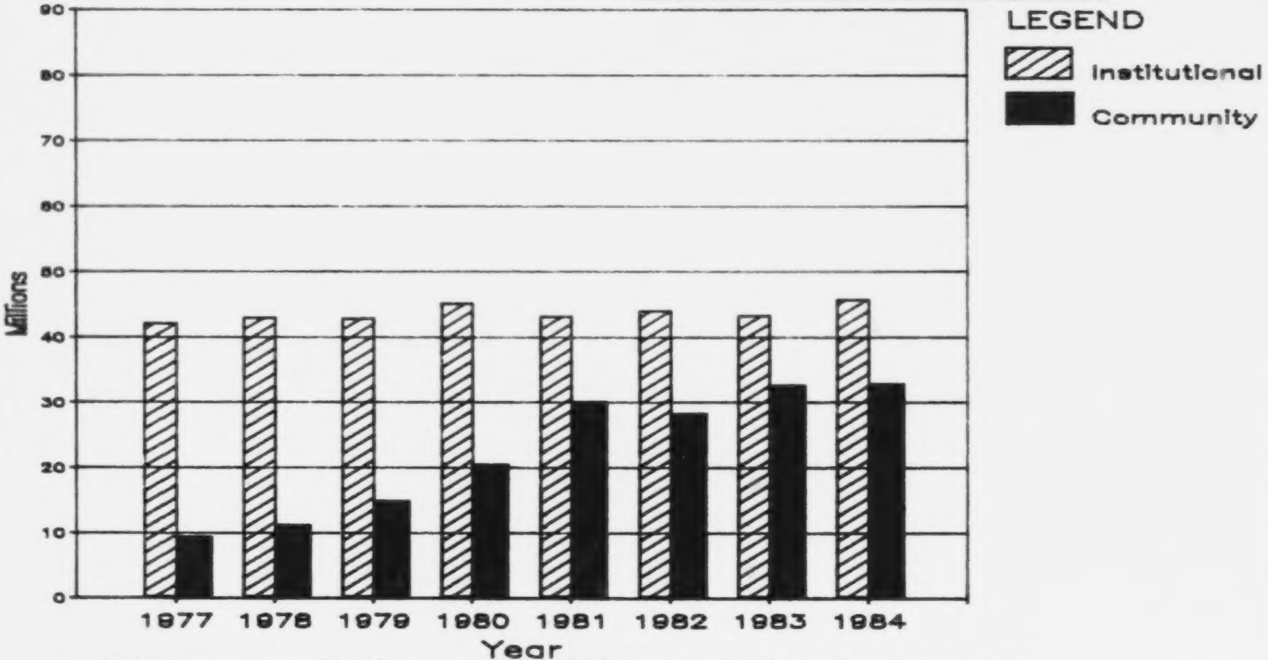
13. Private ICF/MR. There is one private ICF/MR, a 60-bed facility. Actual expenditures for FY 1977-`82 were provided by Peterson Epps, Department of Health, Division of Provider Reimbursement (telephone, 1/9/84). FY `83 and `84 figures are estimates also from Mr. Epps based on preliminary FY `83 cost reports and projections for FY `84.

WASHINGTON
STATE PROFILE

WASHINGTON
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

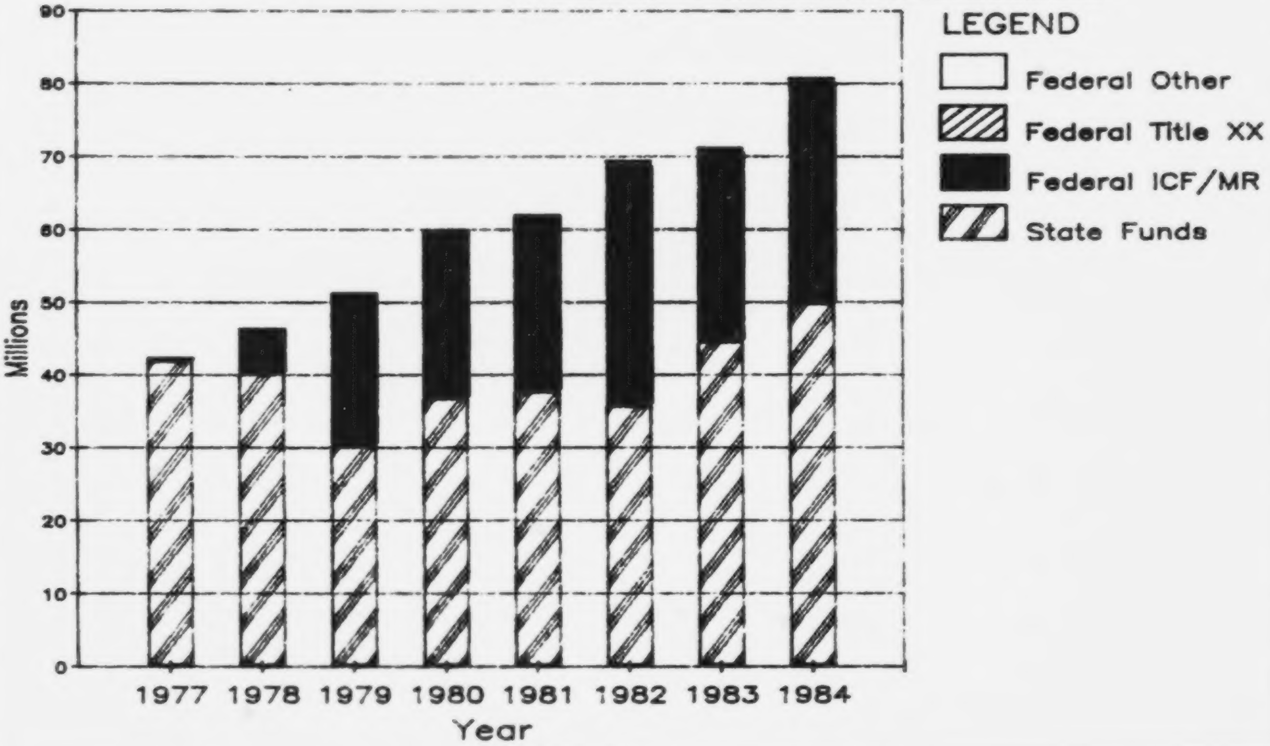


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

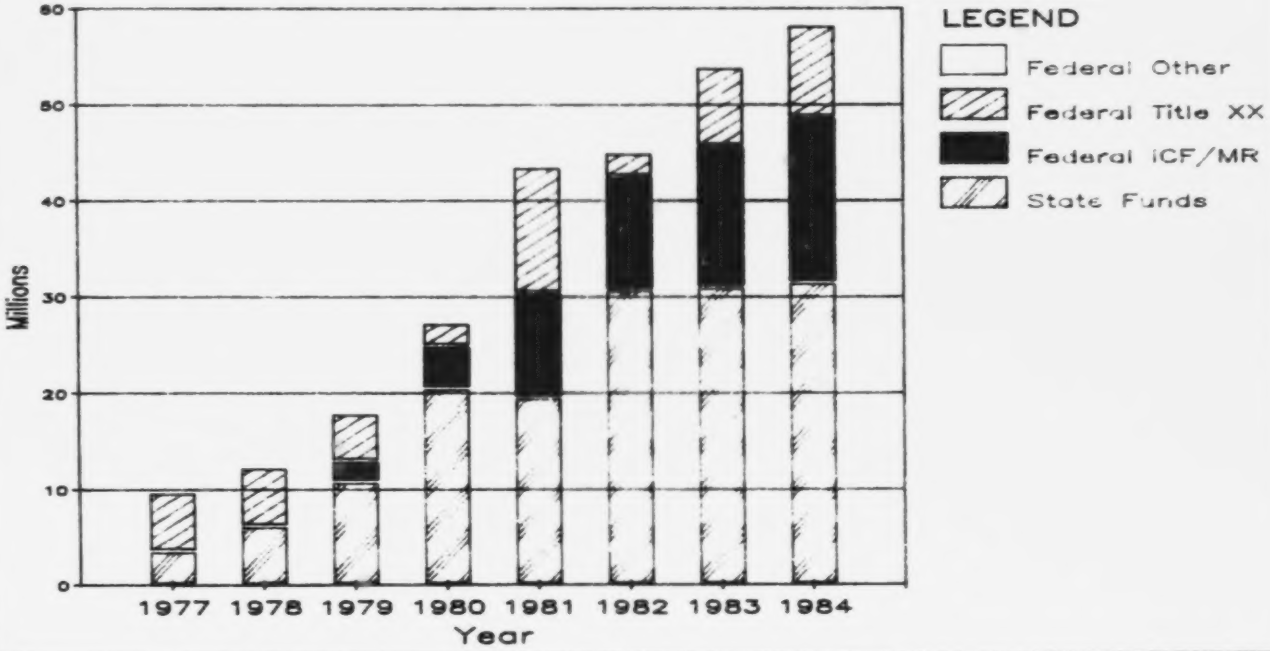
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

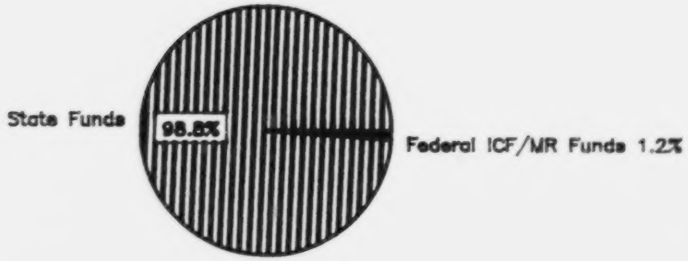


MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*

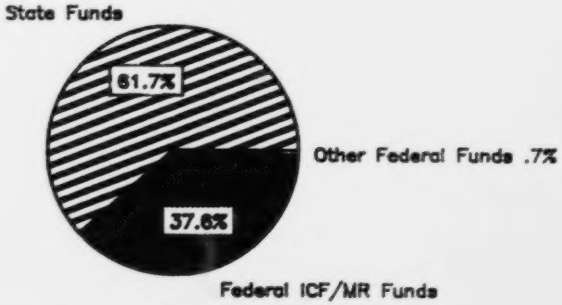


WASHINGTON

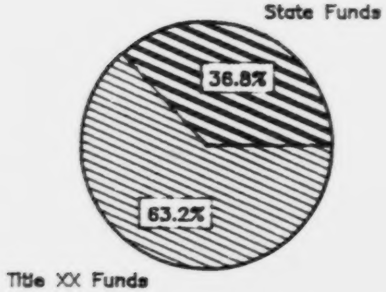
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



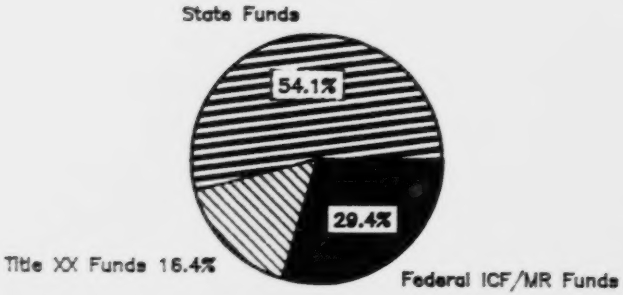
Institutional: 1977 Total Funds—$42.5 Million



Institutional: 1984 Total Funds—$81.0 Million



Community: 1977 Total Funds—$9.7 Million

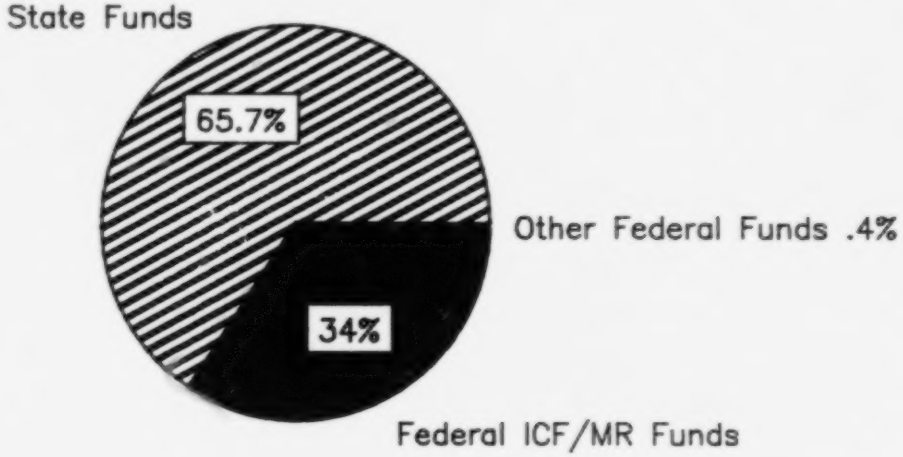


Community: 1984 Total Funds—$58.3 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

WASHINGTON
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

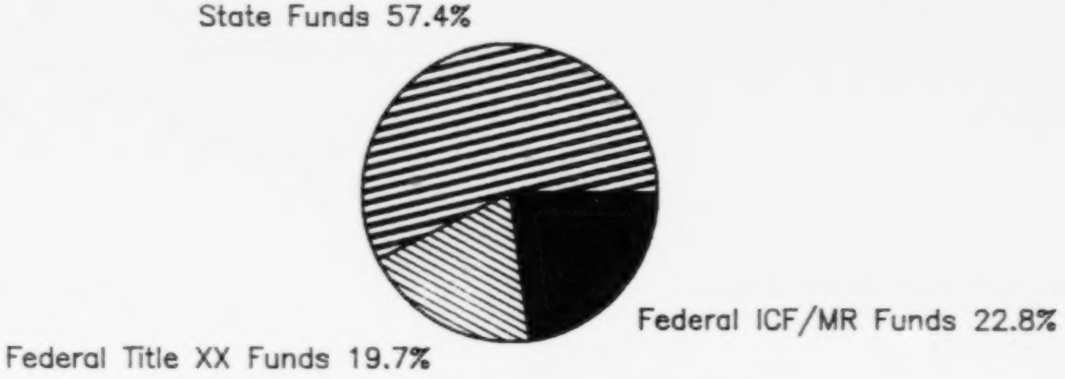
Institutional Services Funds



Total Institutional Dollars: $485 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

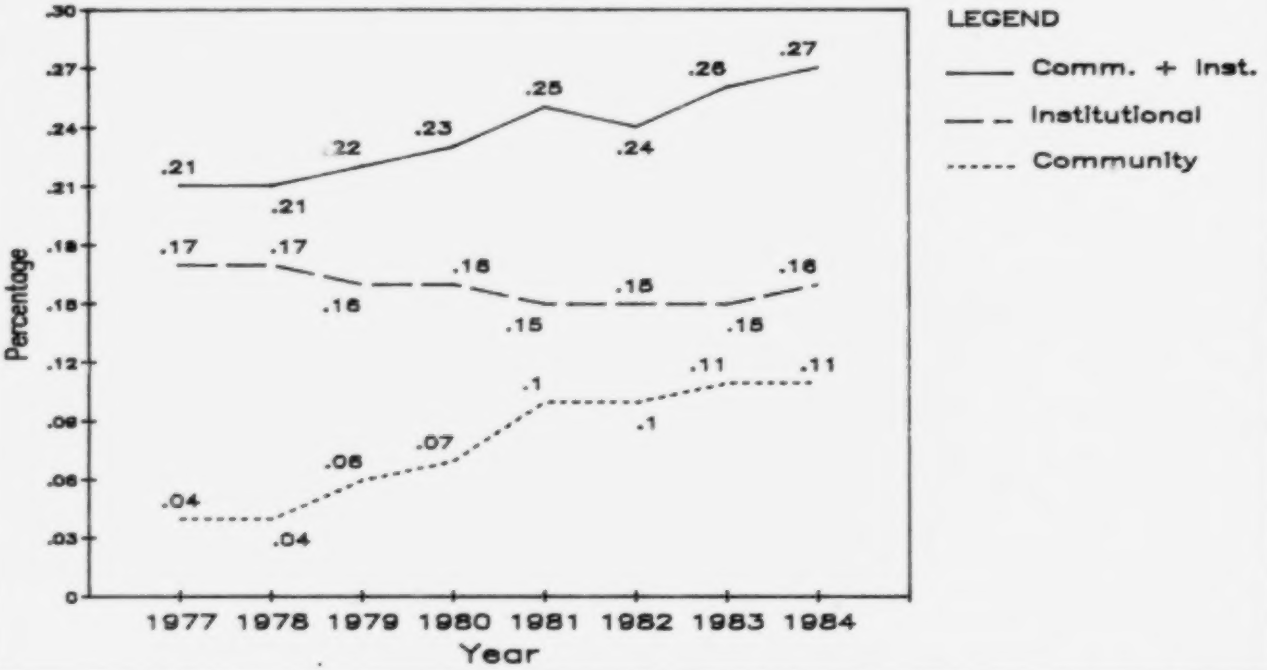


Total Community Dollars: $268 Million

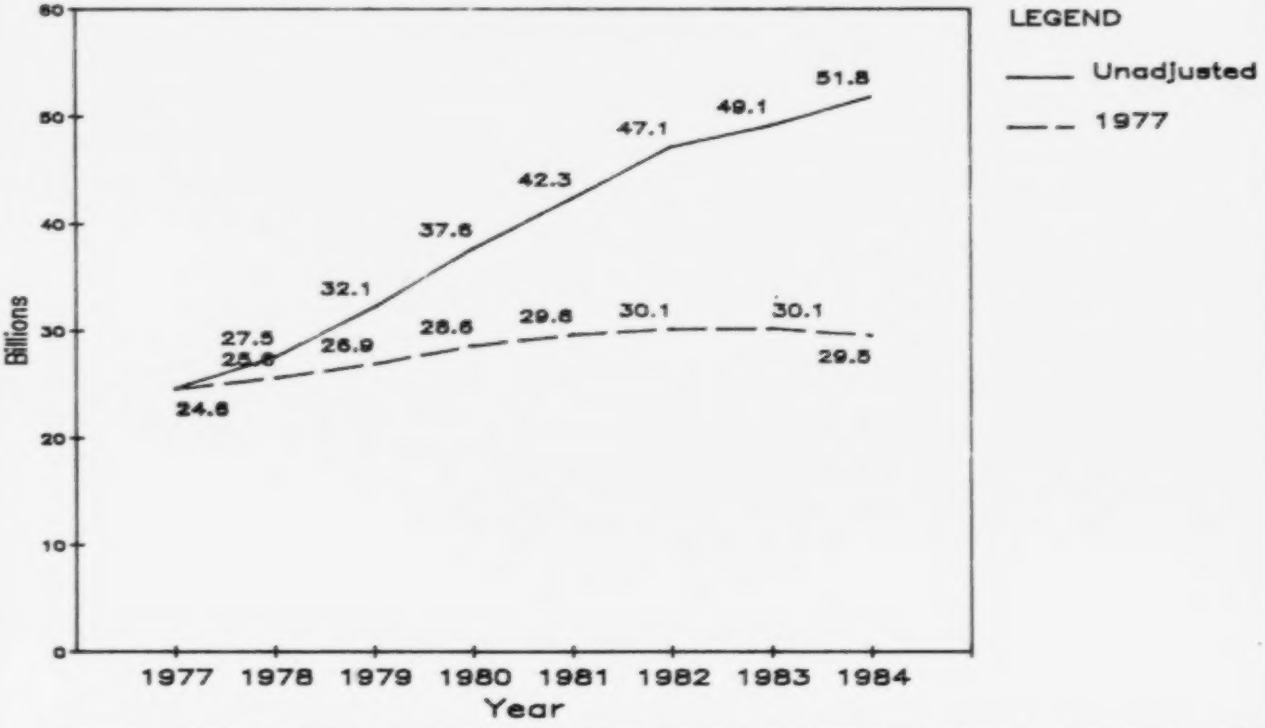
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



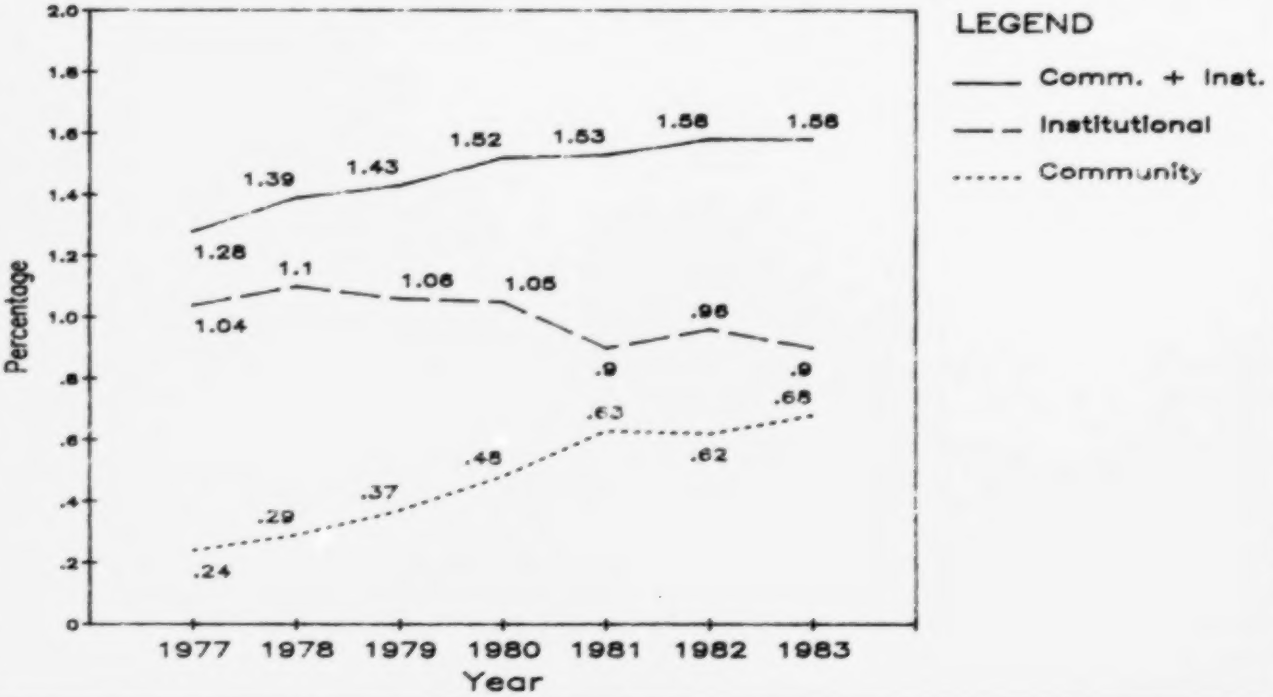
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



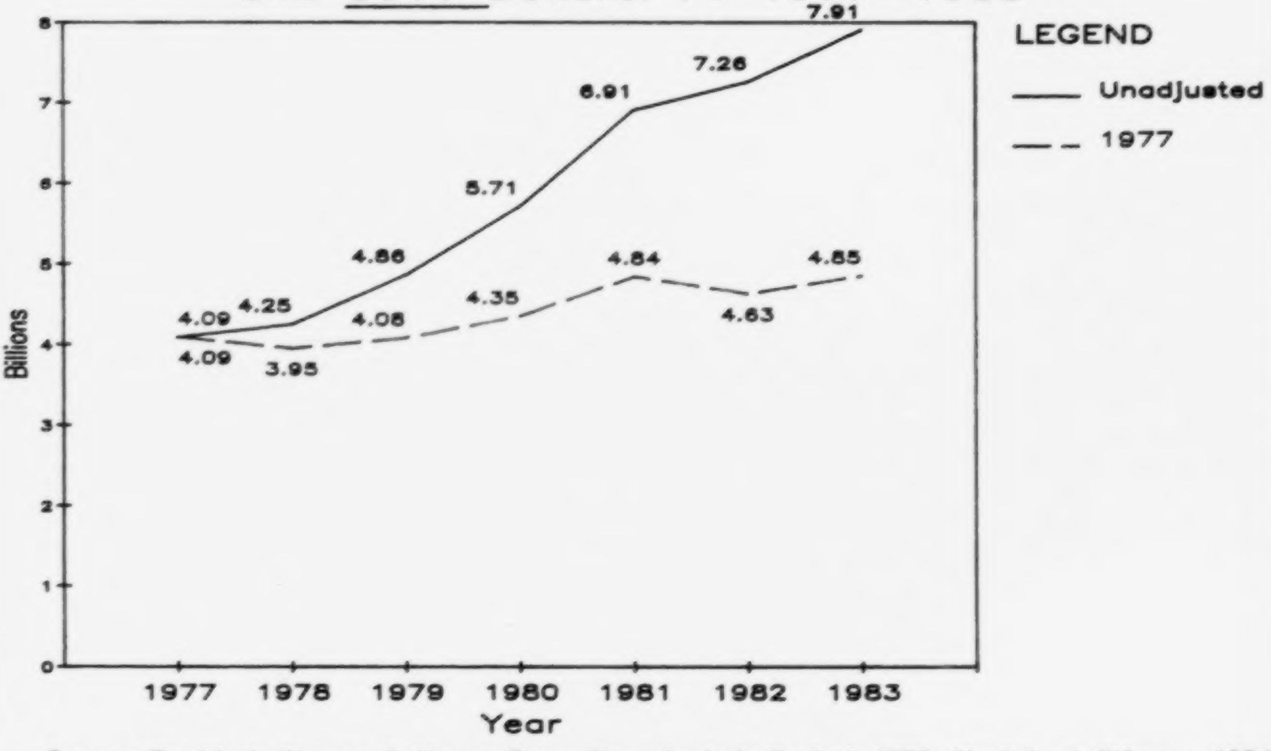
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State BudgeT: FY 1977–1983



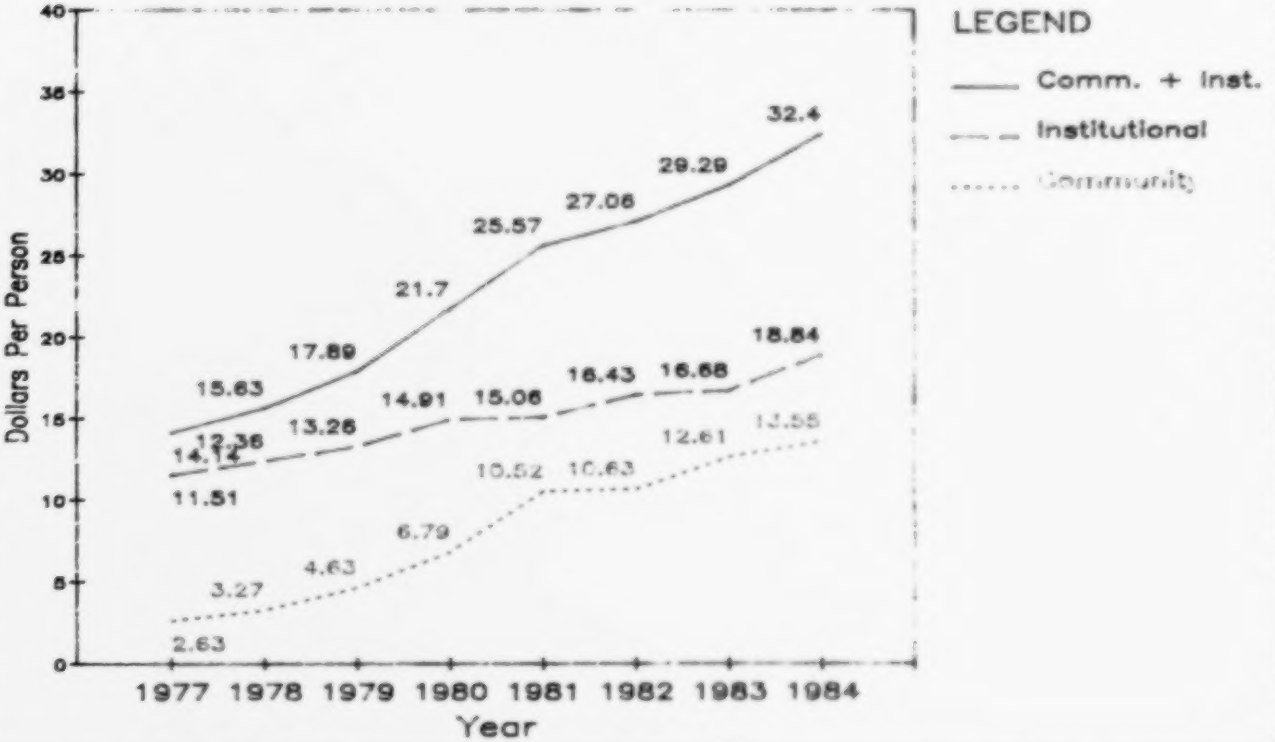
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



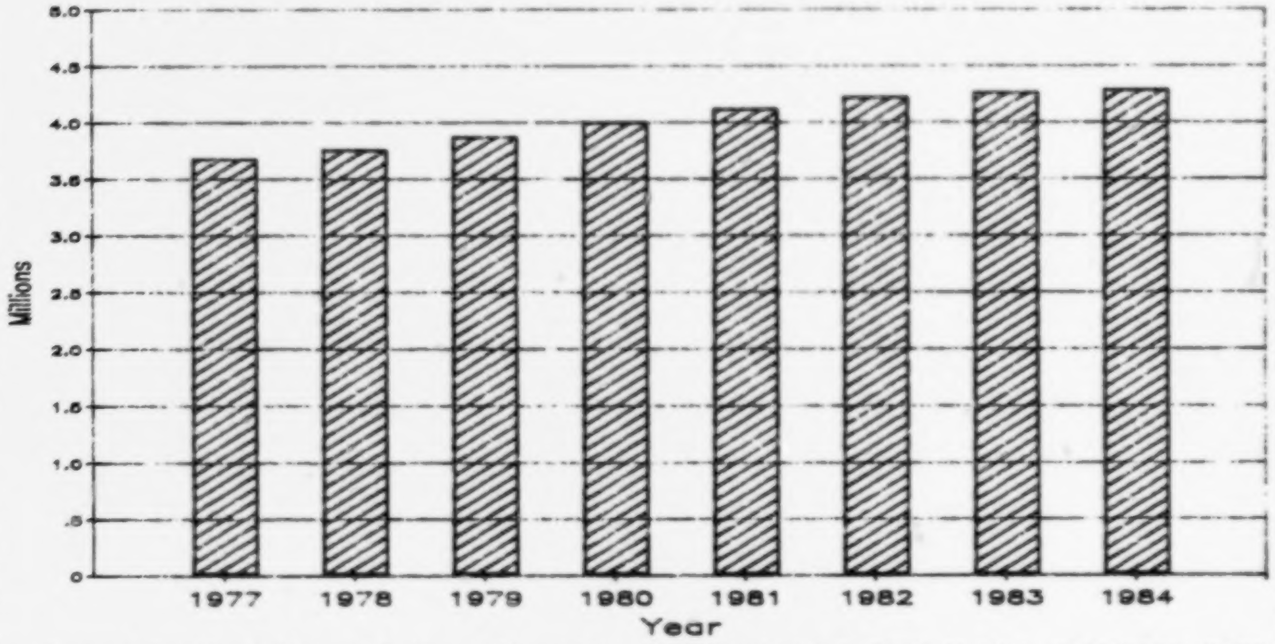
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

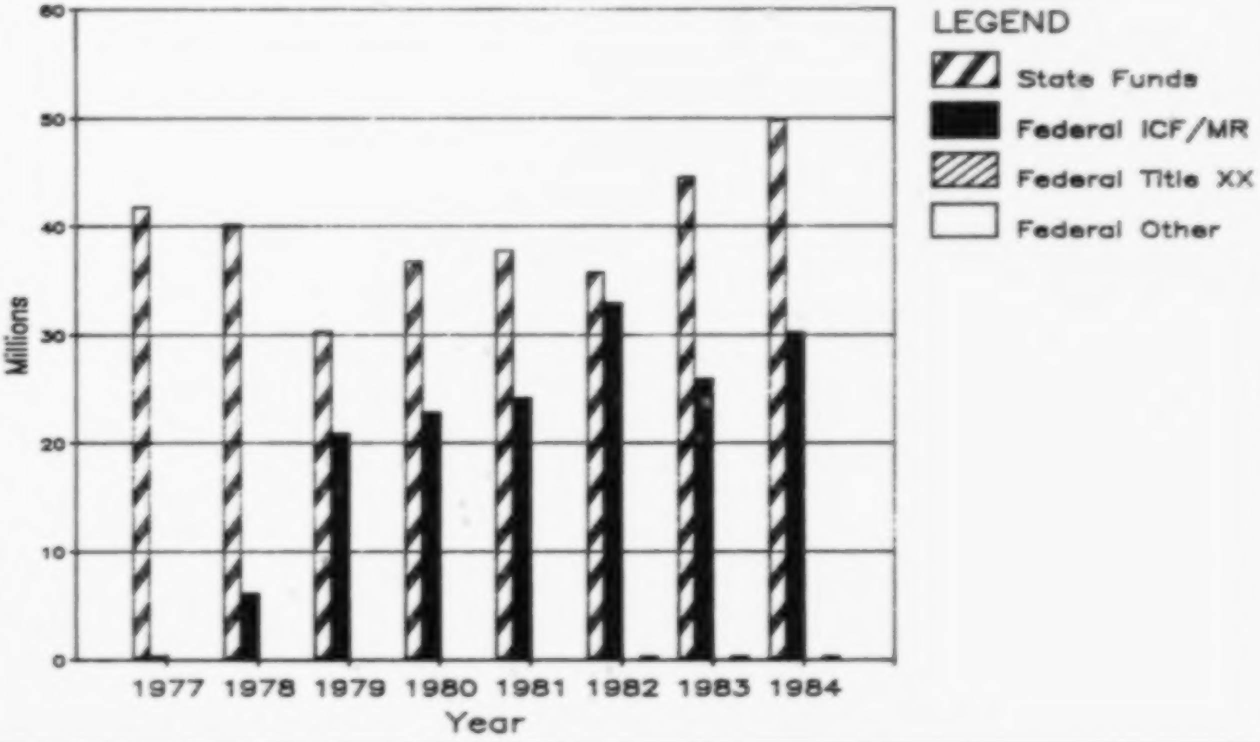


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

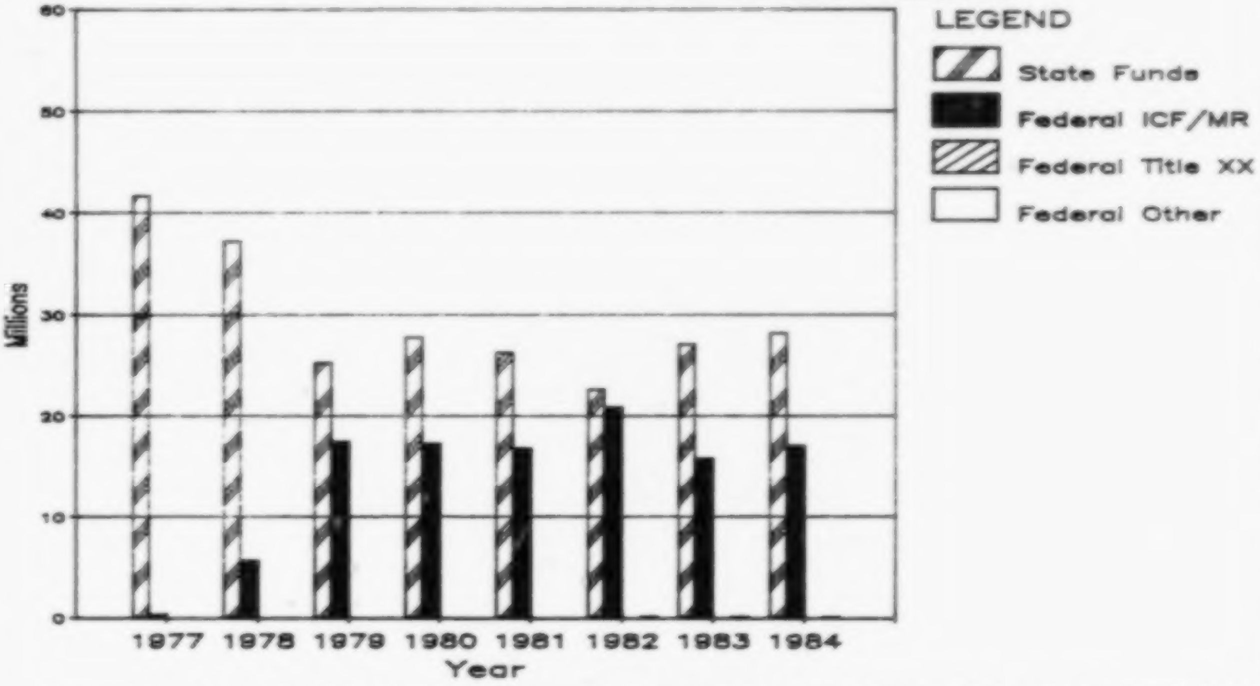
WASHINGTON

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



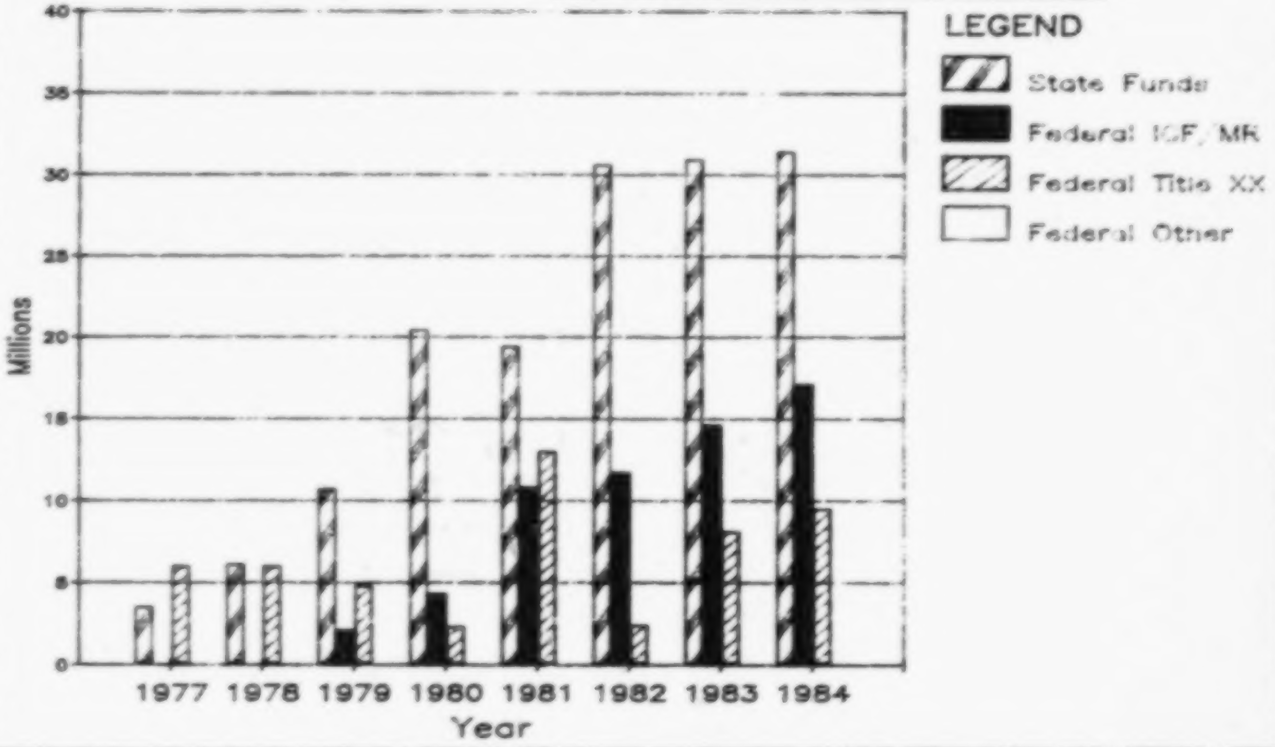
FY 1977–1984, *In 1977 Dollars*



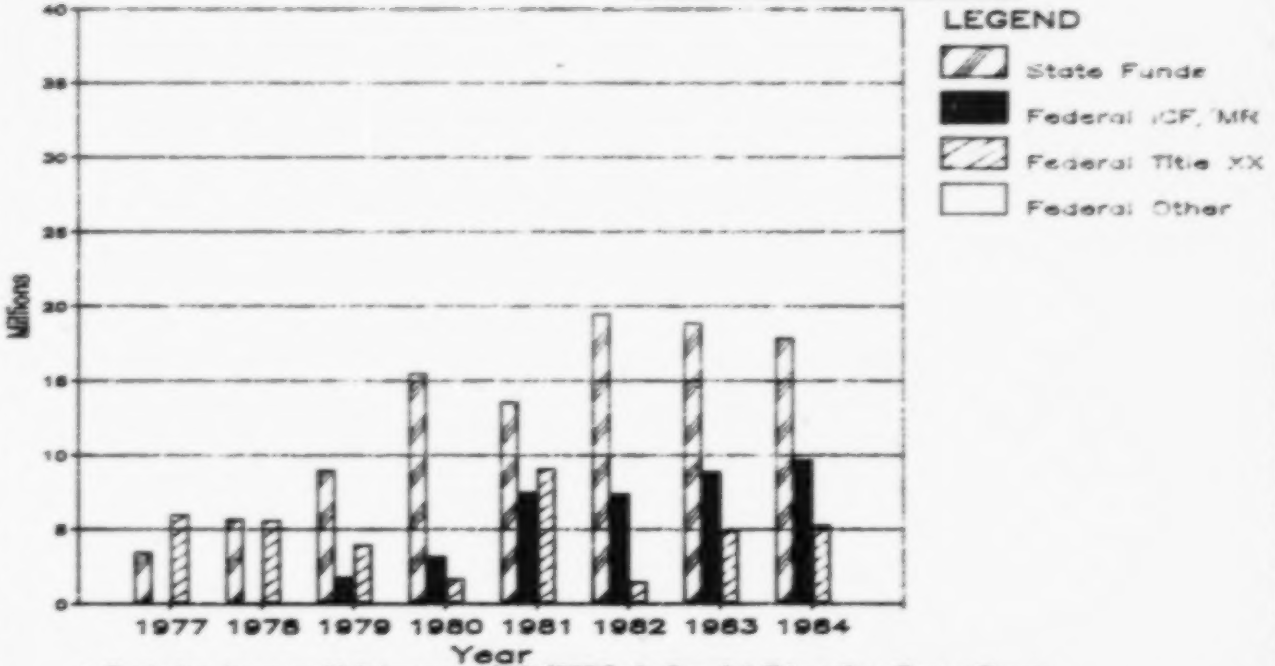
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



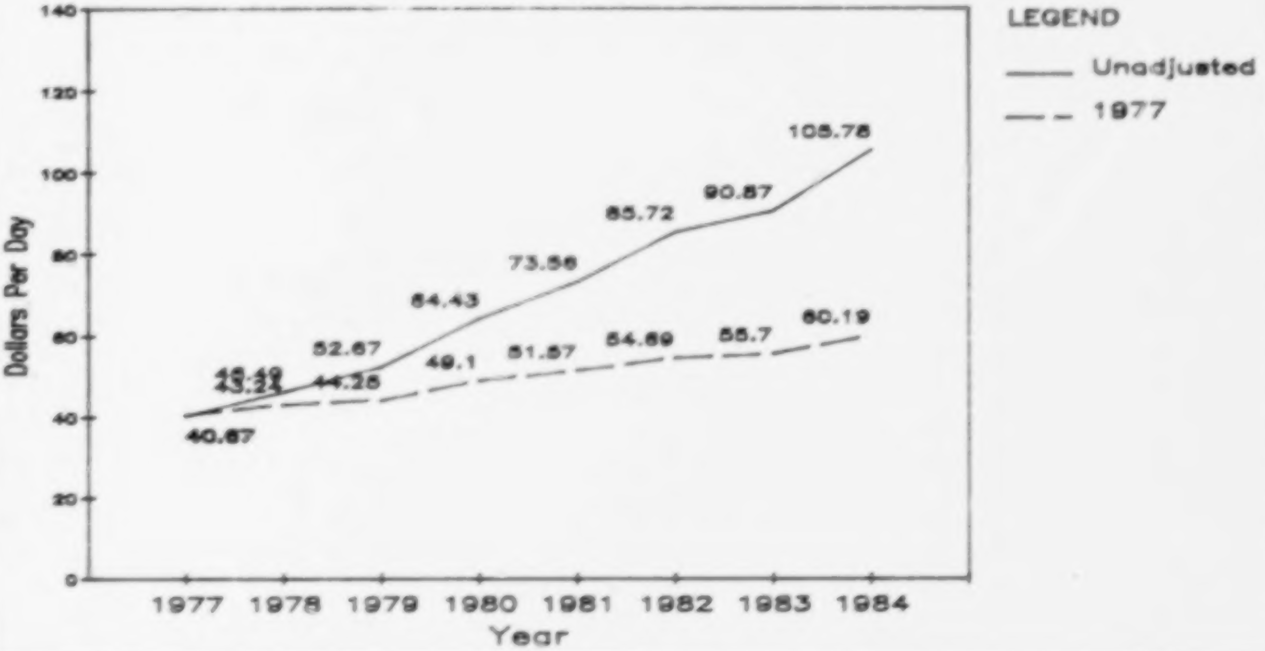
FY 1977–1984, *In 1977 Dollars*



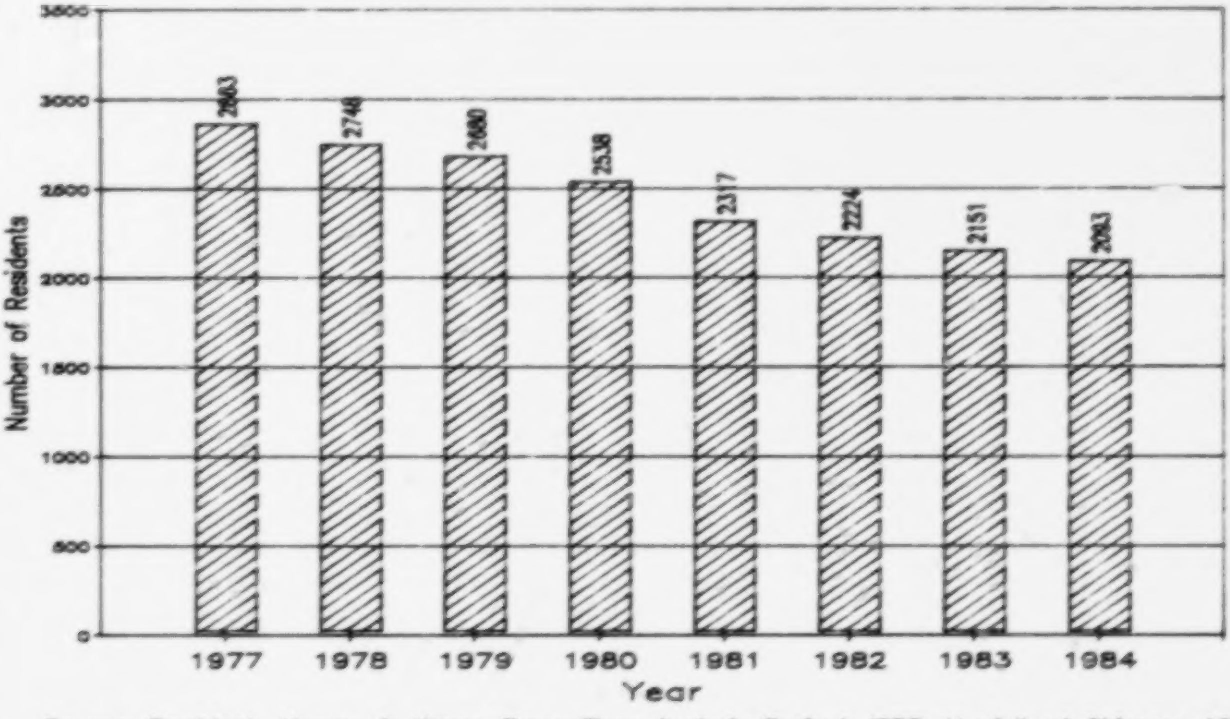
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WASHINGTON

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Community and institutional services for mentally retarded and developmentally disabled persons in Washington are administered by the Division of Developmental Disablities (DD) within the Department of Social and Health Services (DSHS).

2. Budget Format: The Washington published budget reporting format was one of the most compatible state budgets with our Expenditure Analysis Project's format. Categories in the Washington state budget classified fiscal data in the following manner:

Department of Social and Health Services
  Division of DD

Community Services
  General Fund-State
  General Fund-Federal Block Grant
  General Fund-Federal
  General Fund-Federal Unanticipated

Residential Habilitation Services (Institutional Services)
  [same as above], and in addition,
  General Fund-Private/Local Unanticipated

Special Projects
  [same as Community Services above]

Program Support
  [same as Community Services above]

In addition to these expenditure categorizations, there were re-capitulations, for three of the program budget areas, as follows:

Budget Unit Data-Community Services
  Group Homes
  Developmental Centers ("County Services")
  Developmental Center Construction (FY `81 - `83 only)
  Case Services
  Home Aid
  Community Institutions for the Mentally Retarded Services
    (FY `81 - `84 only)
  Alternate Living/Tenant Support (FY `81 - `84 only)
Budget Unit Data-Residential Habilitation Centers for the DD
  Fircrest School
  Interlake School
  Rainier School
  Lakeland Village
  Yakima Valley School
  Francis Haddon Morgan School
  School for the Blind
  School for the Deaf
  Cerebral Palsy Center (FY `77 - `80 only)
Budget Unit Data-Special Projects
  Research and Program Evaluation
  Division HQ
  Fircrest School
  Rainier School
  Yakima Valley School
  Francis Haddon Morgan School
  School for the Blind
  School for the Deaf

Note: For FY `77 - `80, there was not an expenditure recap of "Special Projects"; however, there was narrative discussion of program elements such as DDSA Grants, Protection and Advocacy, Title I, Foster Grandparents, etc. Although listed in the budget documents, Special Projects and Program Support are considered to be central administration by Washington State officials, and have therefore not been included in our analysis. (Program Support expenditures range from $1.5 million in FY `77 to $2.1 million in FY `84; Special Projects decreases from $2.9 million in FY `77 to $1.0 million in FY `84.)

3. Note on Data Sources: State of Washington Budget documents were reviewed for the FY `79-`81, the FY `81-`83 and the FY `83-`85 Biennia, as well as "House Bill #1079, Chapter 76, First Extraordinary Session, Laws of 1983" (effective 7/15/83). These documents provided expenditure figures categorized as "actual" for FY `77, `79, and `81; "estimated" for FY `78, `80, `82, `83; and one-half of the "appropriated" figure for FY `84 (from HB #1079).

II. INSTITUTIONAL SERVICES

4. Institutional Services. These figures consist of the expenditures shown in the budget documents for the "Residential Habilitation Centers for the Developmentally Disabled," and for FY `84, one-half of the HB #1079 figure for the "Institutional Services Total Appropriation."

The budget documents provide average daily population figures for each of the Centers listed in Note 2 above, and when aggregated the annual figures are:

FY 1977 - 2,863
FY 1978 - 2,748
FY 1979 - 2,680
FY 1980 - 2,538
FY 1981 - 2,317
FY 1982 - 2,224
FY 1983 - 2,151
FY 1984 - 2,093 (projected)

5. State General Funds consist of the budget document figures for:

"Institutional Services-General Fund-State" (FY `77 - `83) and one-half of "Institutional Services-General Fund Appropriation-State" (FY `84), from HB #1079.

6. Other State Funds for FY `81 consists of the figure classified in the FY `83 - `85 Biennium Budget as "Residential Habilitation Services-General Fund-Private/Local Unanticipated."

7. Title XIX. The Title XIX Institutional Services Federal Funds data in our analysis corresponds to the Washington State Budgets' figures for "Residential Habilitation Services-General Fund-Federal." In addition, for certain years, our analysis also includes "Residential Habilitation Services-General Fund-Federal Unanticipated" figures from the Executive Budgets, in the following amounts (dollars in thousands):

FY `77	FY `79	FY `81	FY `82
$ 517	$ 6,283	$ 10	$ 4,814

For FY `84, we utilized one-half of the HB #1079 figure for "Institutional Services General Fund Appropriation--Federal," and then calculated the Title XIX amount by estimating Other Federal Funds at the same level as the State of Washington Budget document (FY `83-`85) had indicated for FY `83 ($575,000). Subtracting this Other Federal Funds from one-half of the FY `84 "Institutional Services General Fund Appropriation--Federal" left us with a projected FY `84 Title XIX figure for Institutional Services of $30,447,000.

8. Other Federal Funds consists of the following expenditure line items reported in the budget documents:

- "Institutional Services-General Fund-Federal Block Grant"
- "Institutional Services-General Fund-Federal Unanticipated"
- For FY `84, as indicated in Note 7 above, we utilized the State of Washington Budget figure for FY `84.

III. COMMUNITY SERVICES

9. Community Services funds consists of the State Budgets' expenditure figures for Community Services for FY `77-`83, and for FY `84, one-half of the HB #1079 figure for "Community Services General Fund Appropriation--State."

10. State General Funds consist of the State Budgets' figures for "Community Services General Fund-State," for FY `77-`83, and for FY `84, one-half of the HB #1079 figure for "Community Services General Fund Appropriation--State."

11. Title XIX consists of figures (FY `80-`83) reported in the State Budgets as "Community Services-General Fund-Federal" combined with "Community Services-General Fund-Federal Unanticipated." (NOTE: In FY `77-`79, we categorized funds reported as "Federal" and "Federal Unanticipated" for Community Services as Title XX--see Note 12 below). For FY `84, we utilized one-half of the HB #1079 figure for "Community Services General Fund Appropriation--Federal," and then subtracted from this the State of Washington Budget figure for "General Fund--Federal Block Grant," to arrive at a Community Services Title XIX estimate for FY `84.

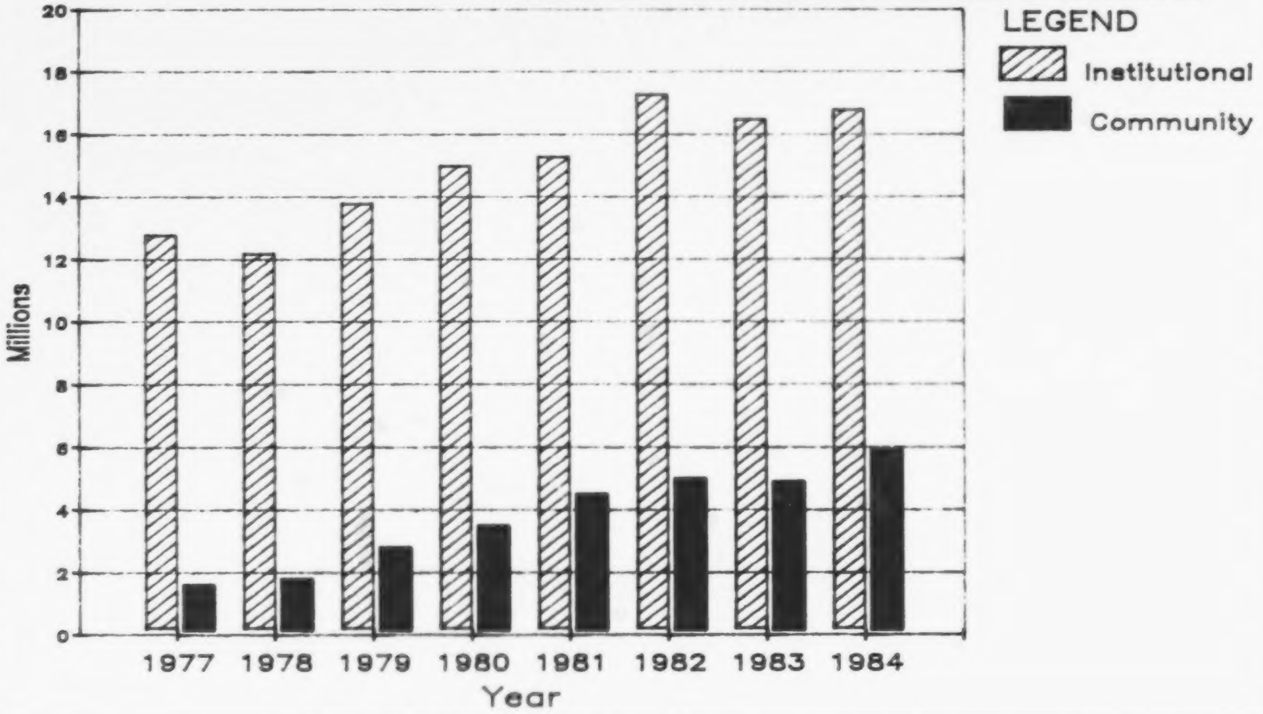
    According to Washington state officials, these Title XIX funds are a combination of Title XIX day program expenditures, managed by the Division of Developmental Services and forwarded to County programs, and Federal Share ICF/MR funds for smaller "Institutions for the Mentally Retarded (IMR)" private programs, initiated by the Division in FY `79. These private ICF/MR Federal funds are in addition to the larger ICF/MR facilities which had been managed by the DSHS-Nursing Homes division, and for which expenditures are reported below (see Note 13).

12. Title XX, for FY `79-`84, consists of the State Budget figures labeled "Community Services-General Fund-Federal Block Grant" (designated "Title XX" in FY `79, `80, from the FY `81-`83 Biennium Budget). For FY `77 and `78, we utilized the State Budget figures entitled "General Fund--Federal" and "General Fund--Federal Unanticipated."

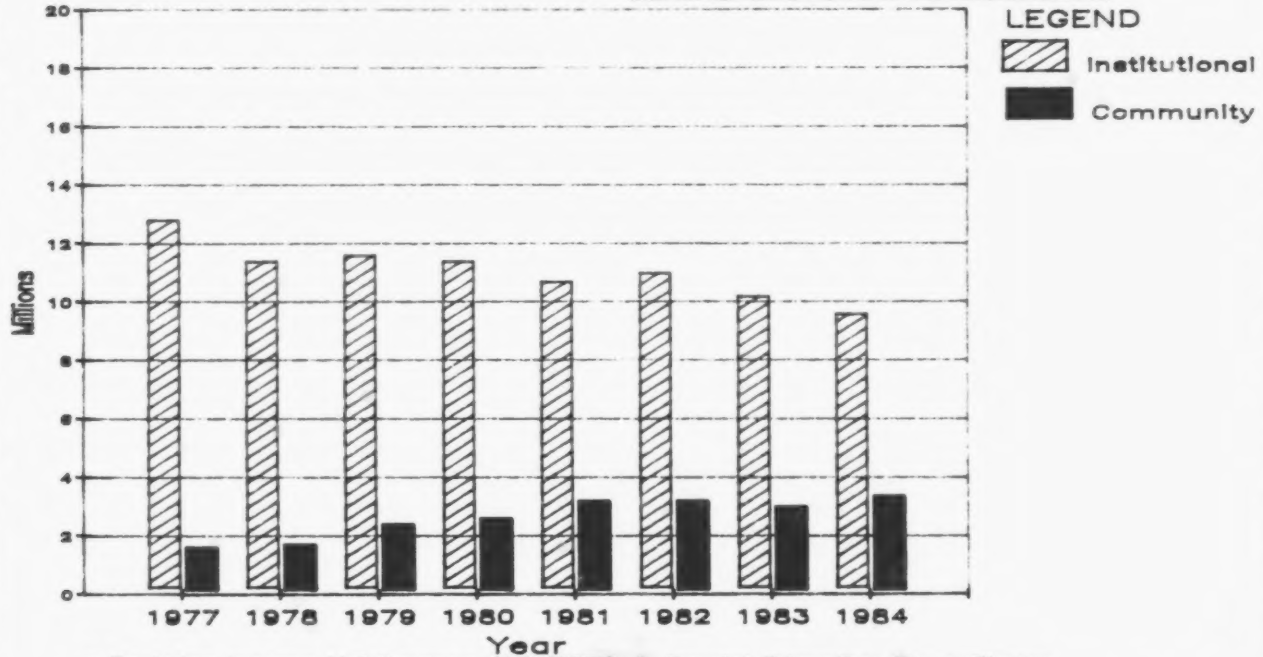
13. Private ICF/MR expenditures are those reported in the Washington Budget in the category "DSHS-Nursing Homes-ICF/MR State Expenditure." We utilized these figures as totals for each year of the analysis, and applied the Federal/State share matching percentages from the Federal Health Care Financing Administration to arrive at estimated Federal and State shares.

WEST VIRGINIA
STATE PROFILE

WEST VIRGINIA
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

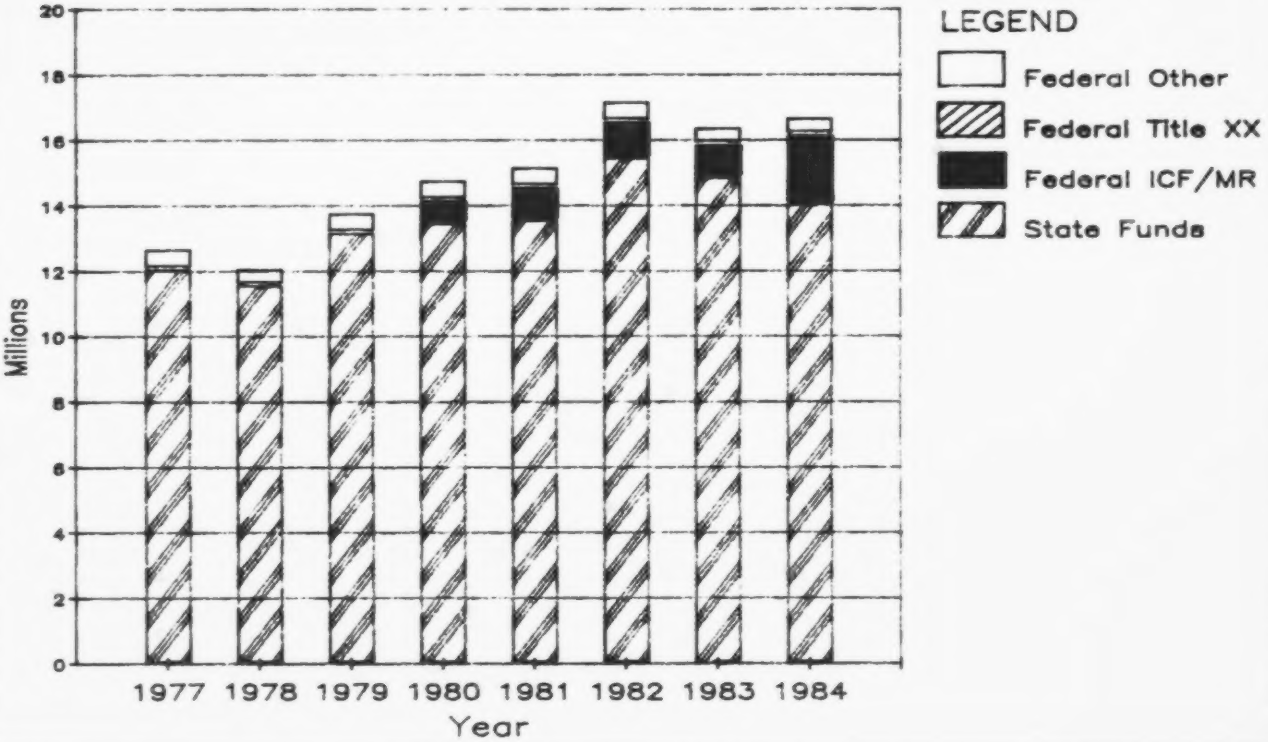


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

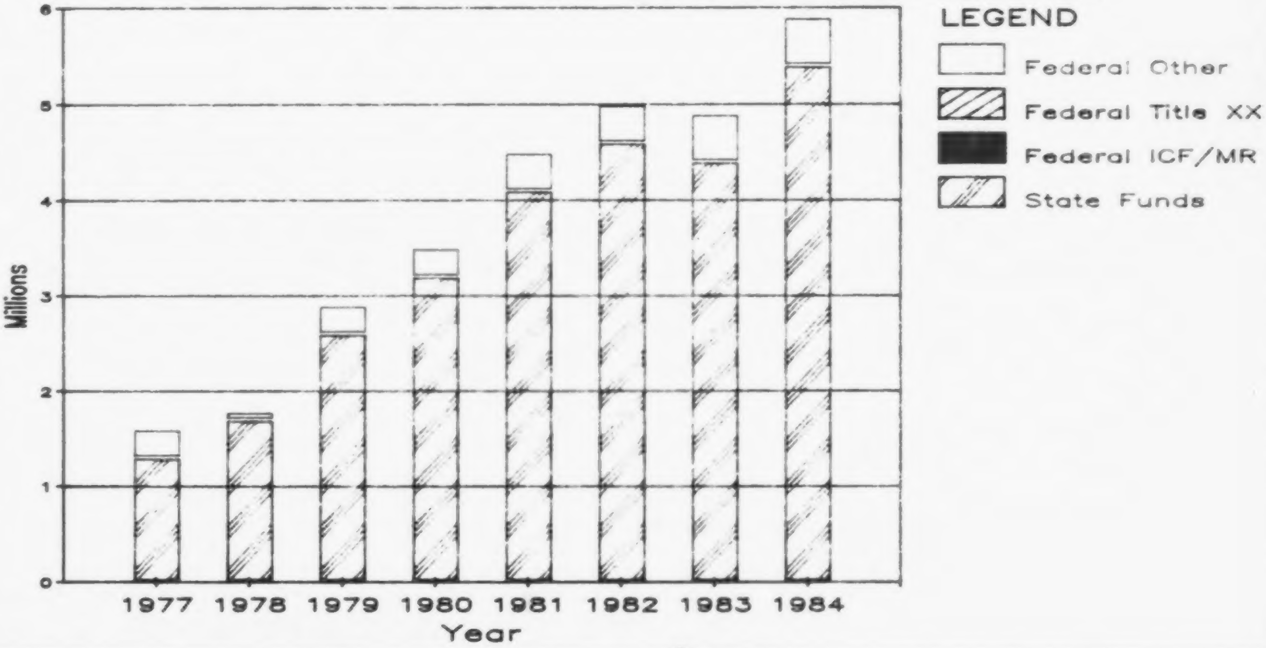
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA

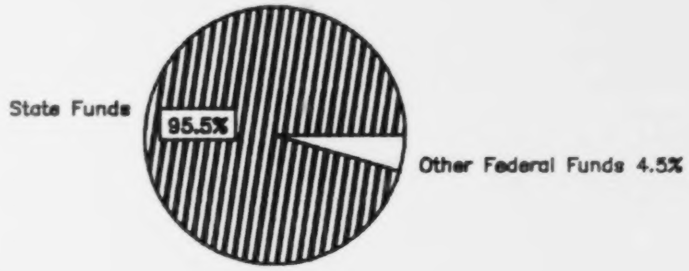
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



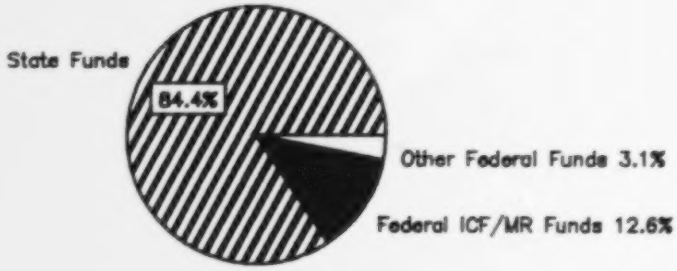
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



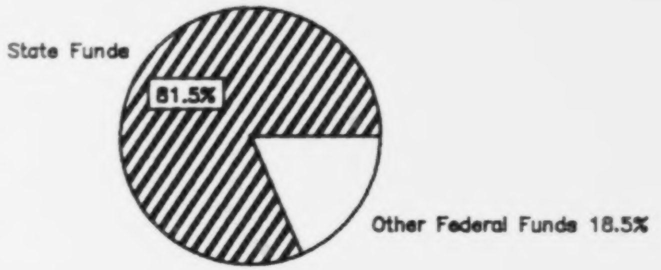
WEST VIRGINIA
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding
FY 1977 & 1984



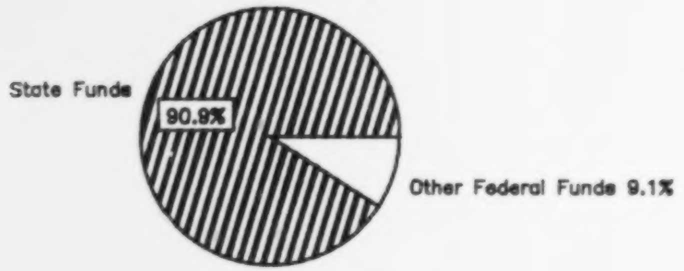
Institutional 1977: $12.7 Million



Institutional 1984: $16.7 Million



Community 1977: $1.6 Million

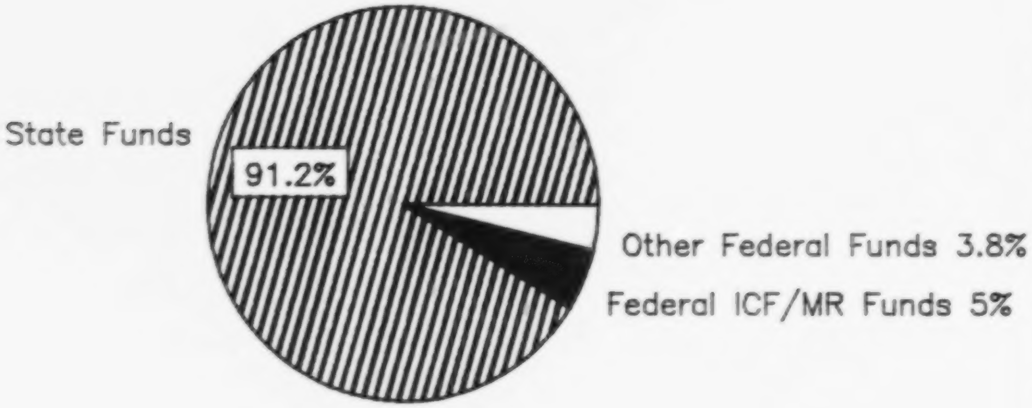


Community 1984: $5.9 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

WEST VIRGINIA
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

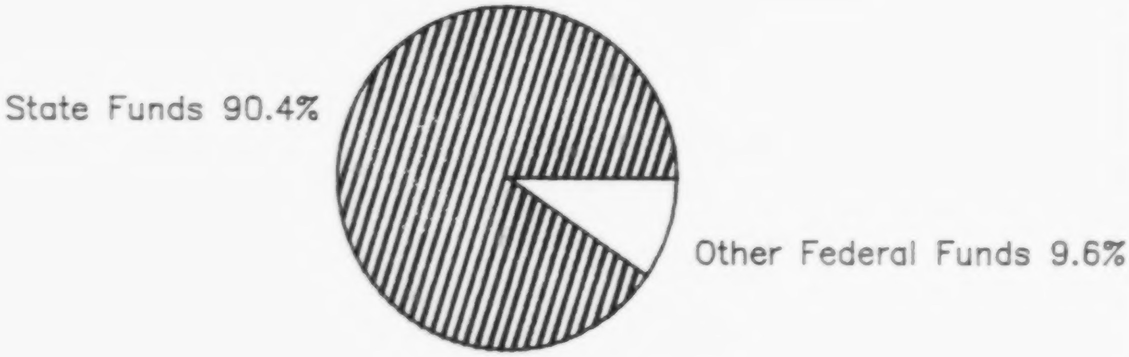
Institutional Services Funds



Institutional Total: $119 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

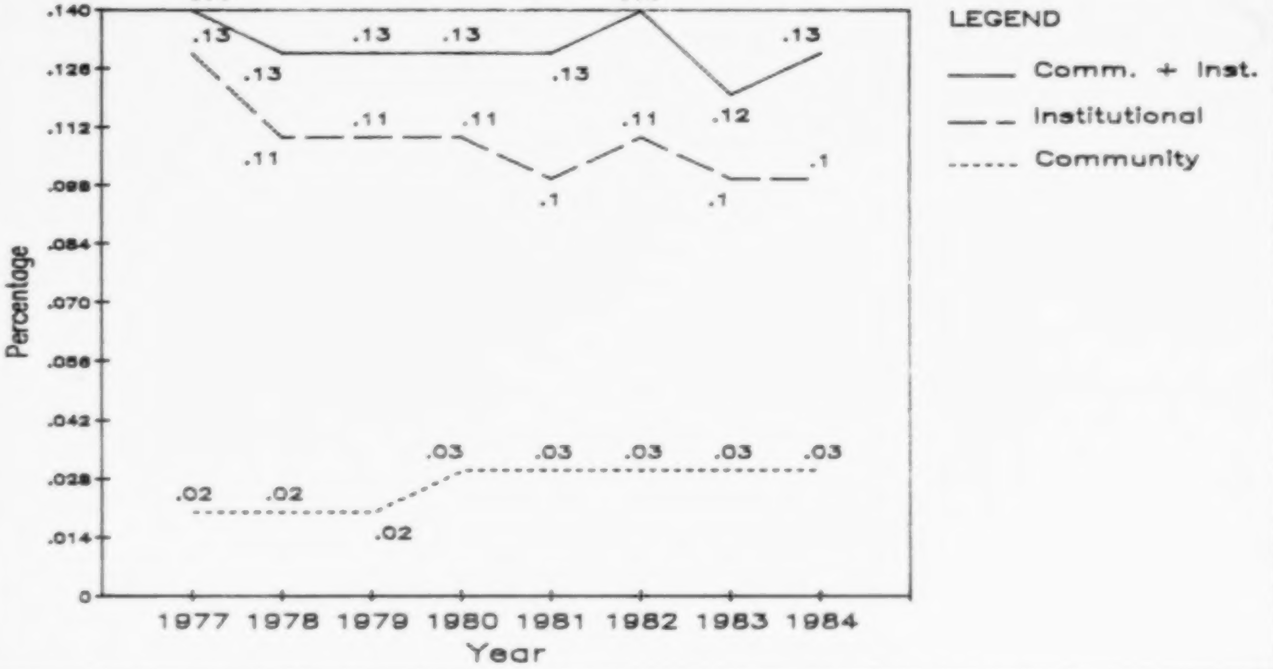


Community Total: $30 Million

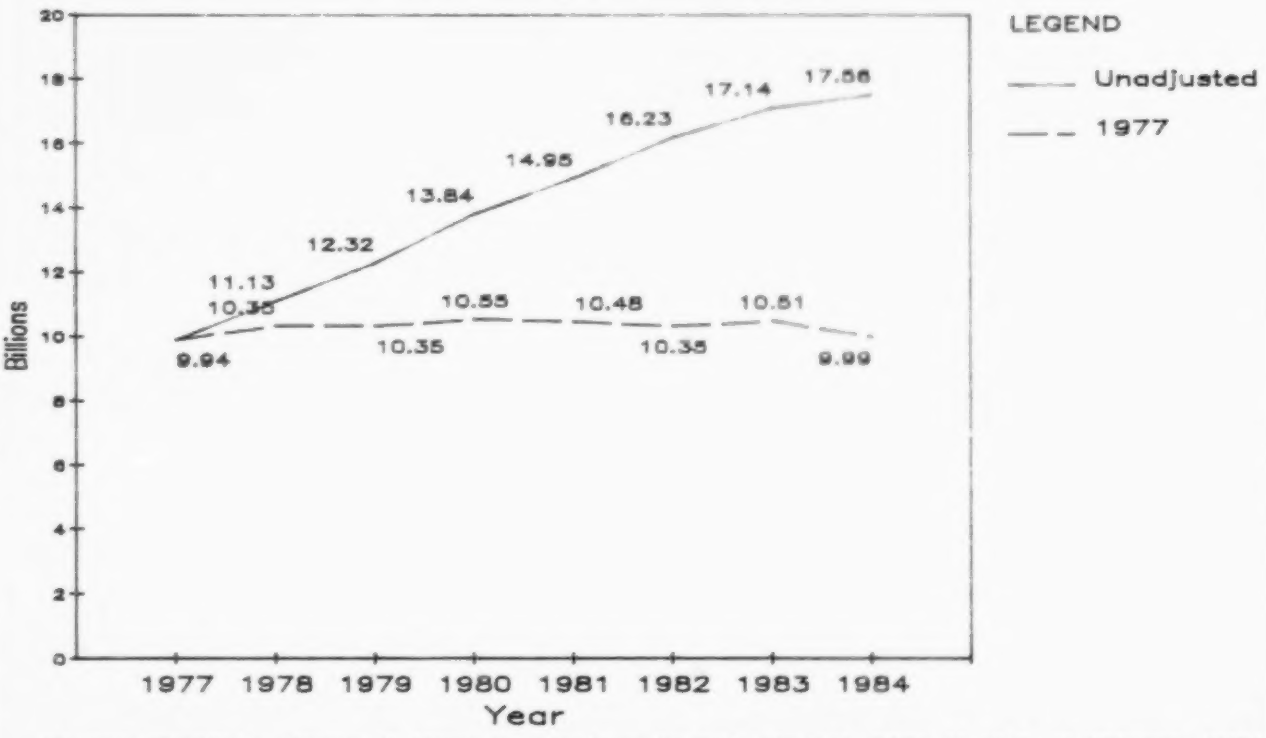
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



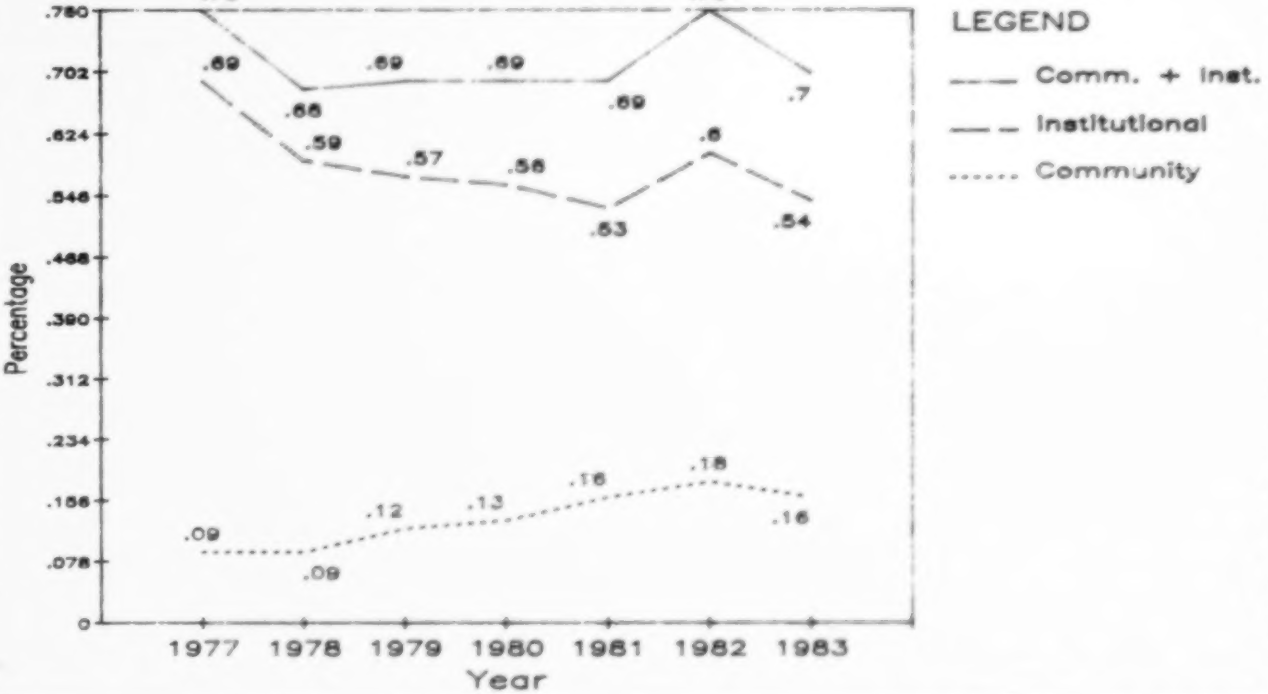
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



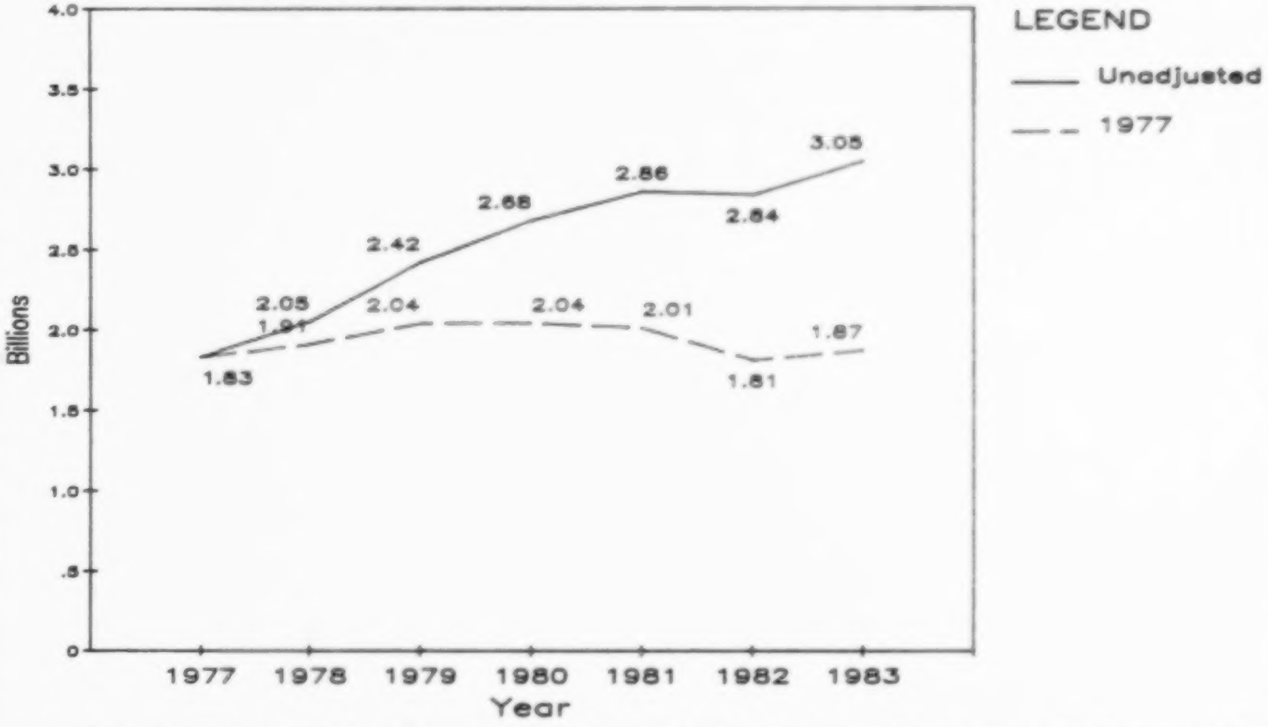
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983

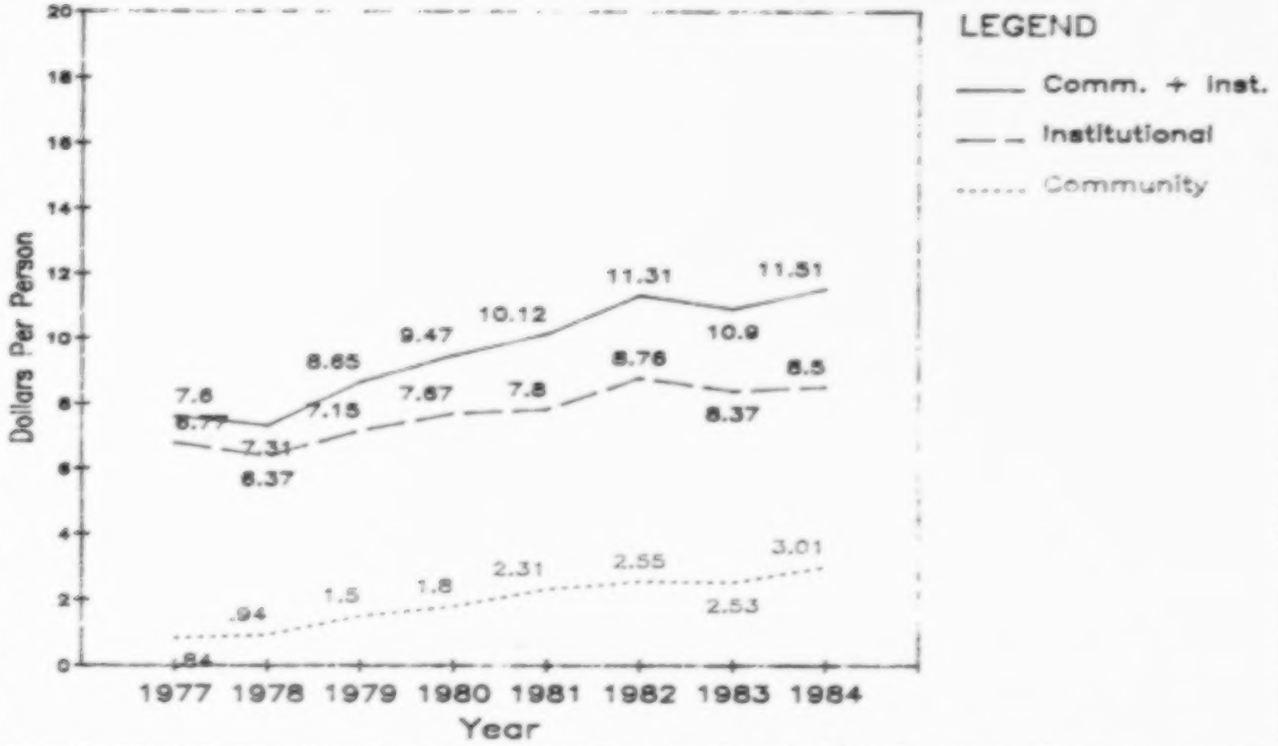


The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983

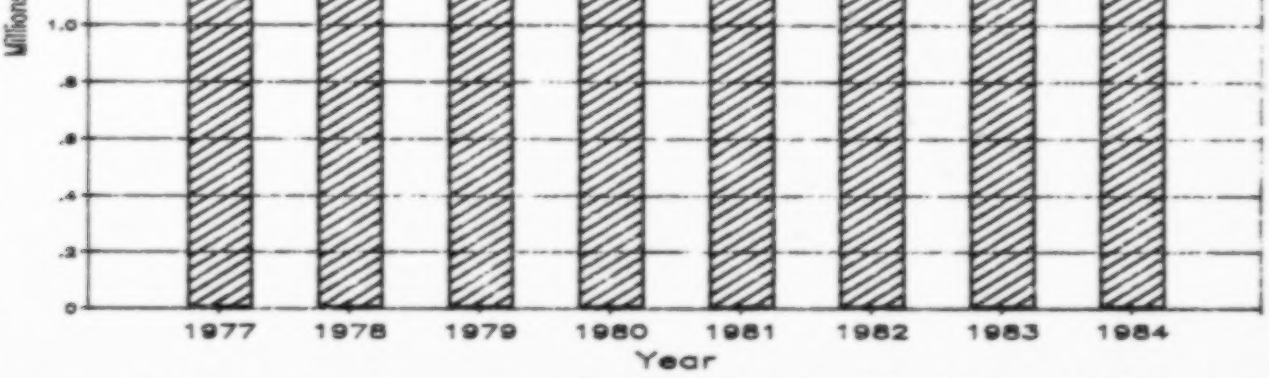


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA
MR/DD *Institutional* and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984

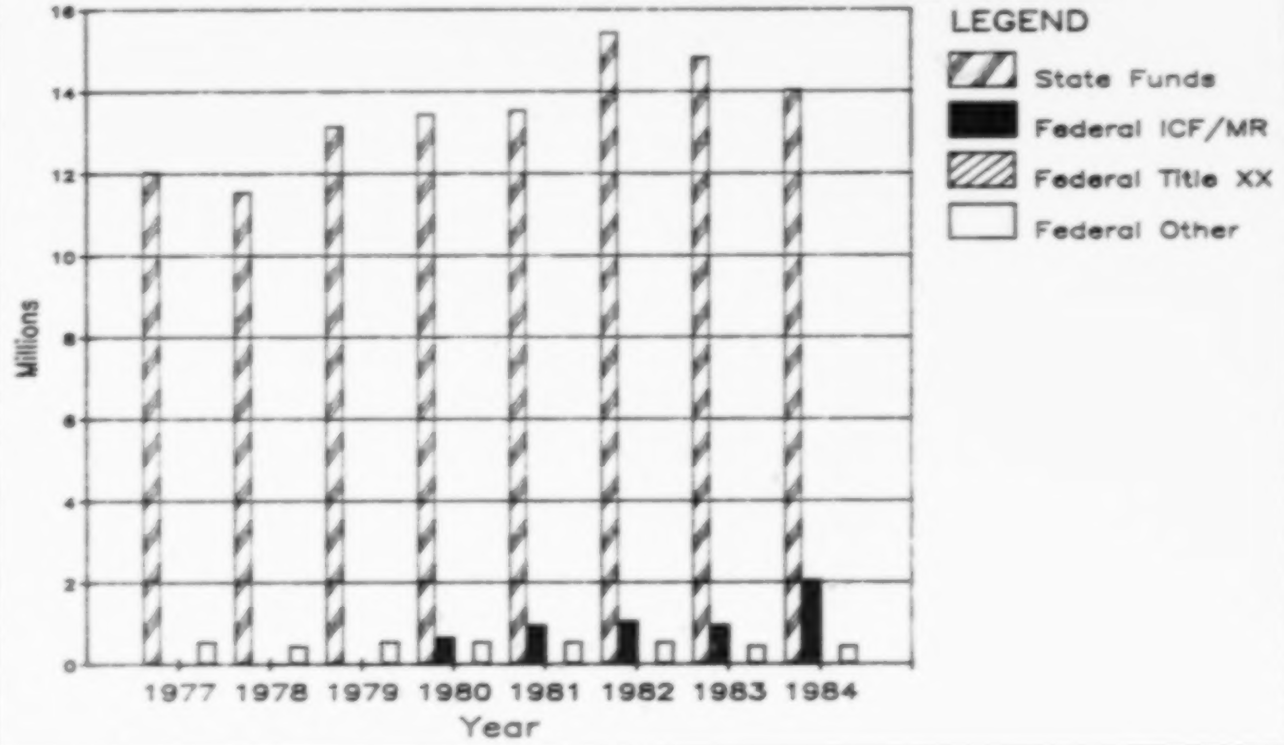


The Total State General Population FY 1977–1984

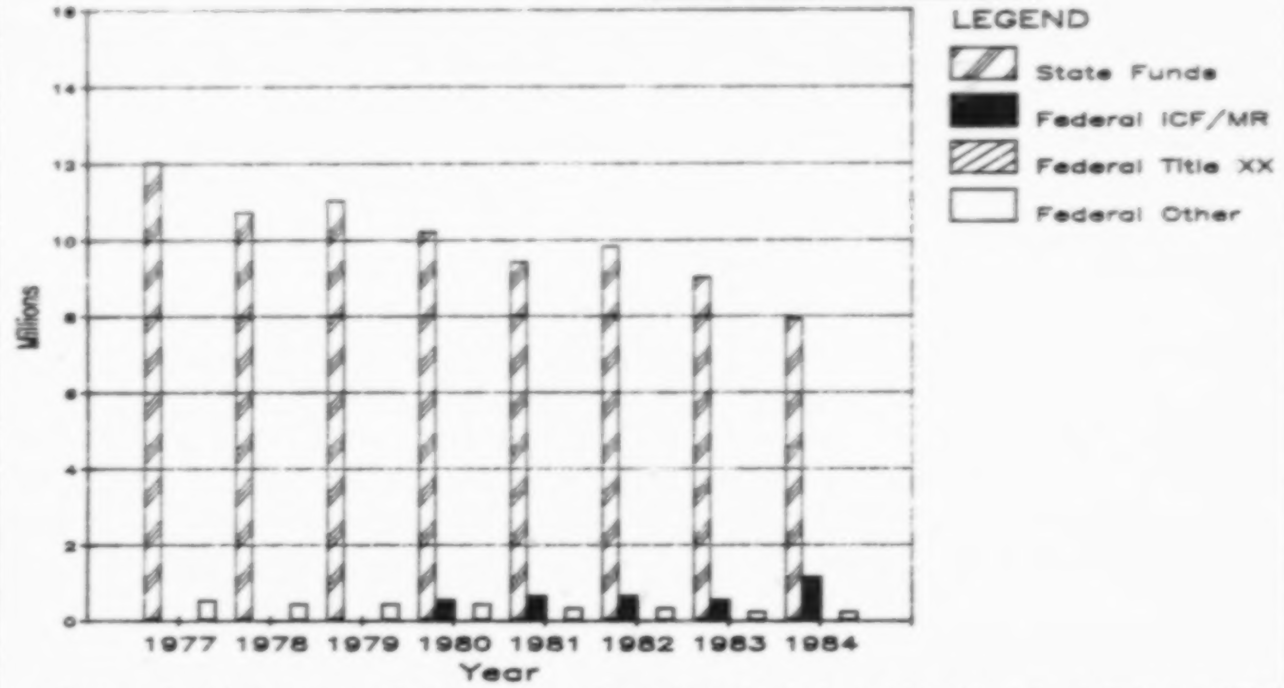


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

WEST VIRGINIA
MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



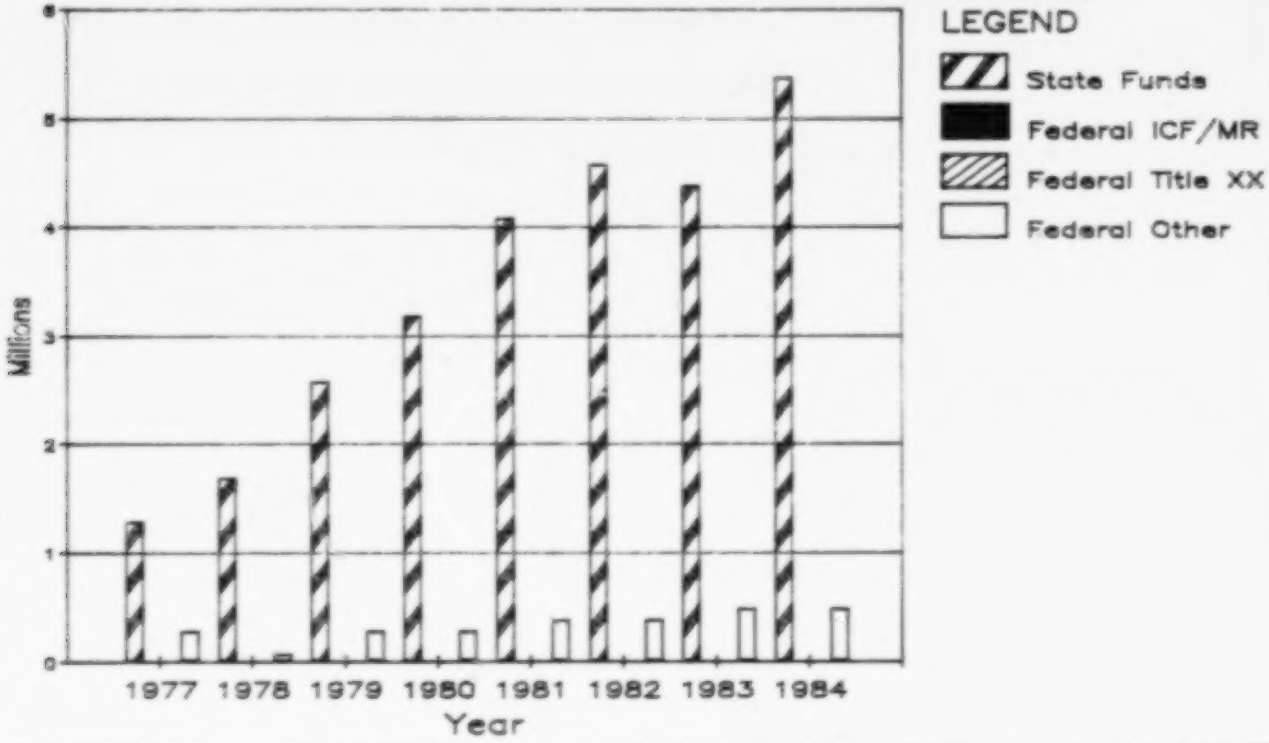
FY 1977–1984, *In 1977 Dollars*



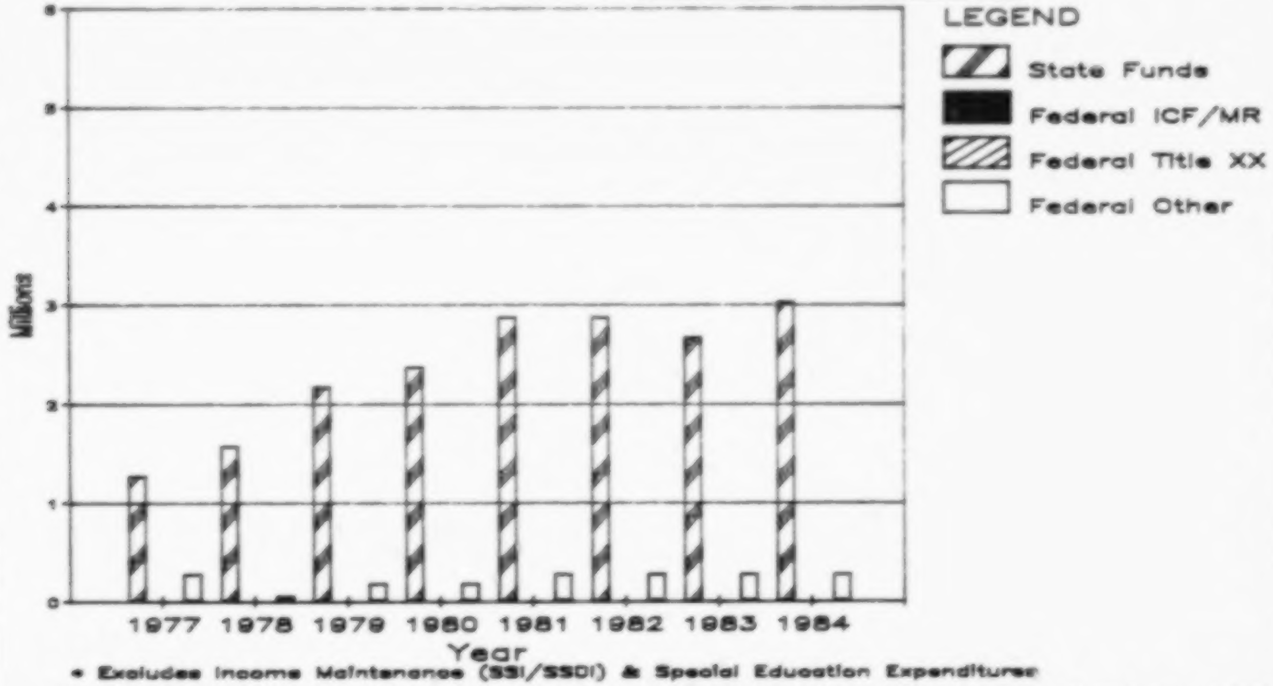
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA

MR/DD Expenditures for *Community** Services:
A Comparison of State & Federal Funding
FY 1977–1984, *In Unadjusted Dollars*



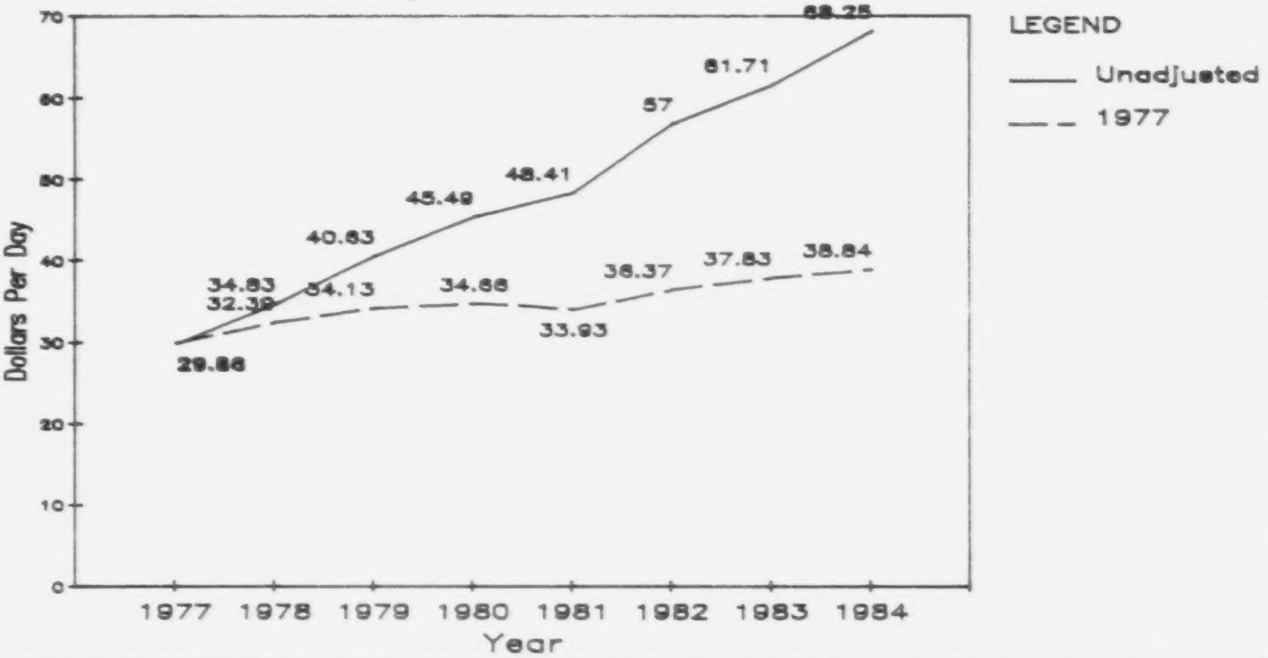
FY 1977–1984, *In 1977 Dollars*



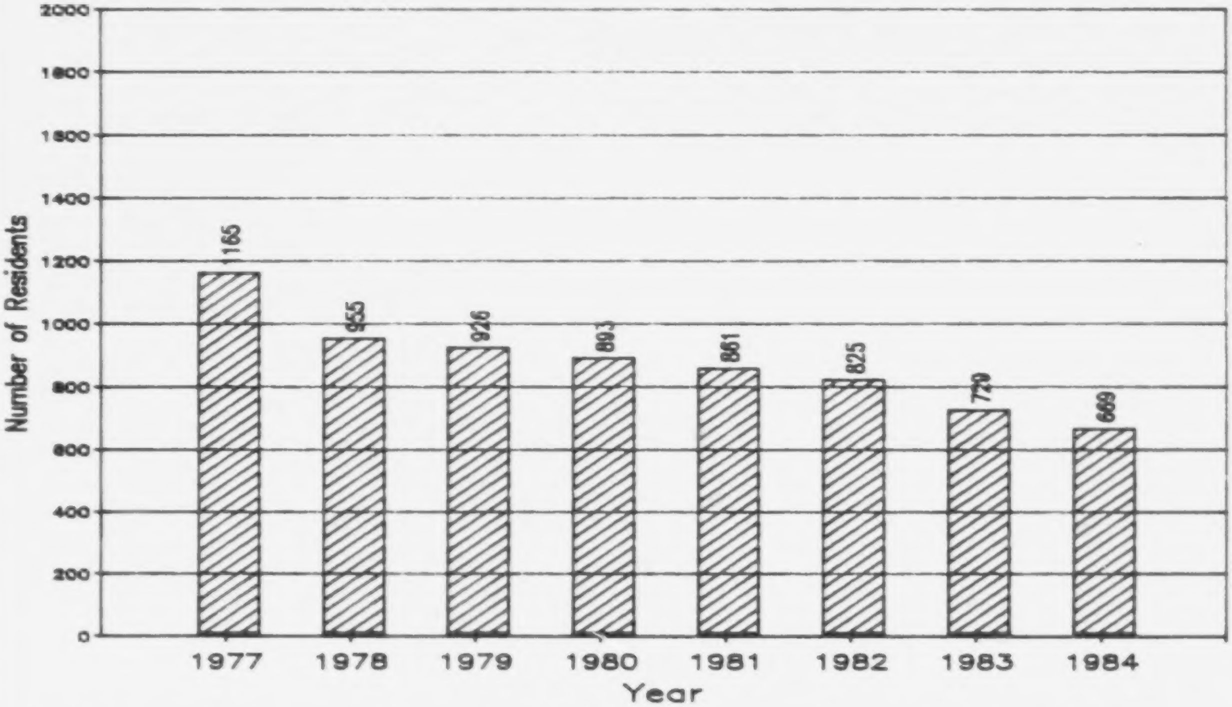
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WEST VIRGINIA

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: In FY 1977, mental retardation services were managed in the Department of Mental Health. There was a major administrative reorganization when John D. Rockefeller became Governor in 1978. Starting in FY 1978, DMH was abolished and all programs, including MR/DD, were transferred to the Department of Health. The "DD Services" program, is now under the Office of Behavioral Health Services in the Department of Health.

2. Budget Format: The State Executive Budget has had the following format since 1978:

- Department of Health
    - State Funds
    - Federal & Other Funds
  - Administrative Services
    - (same funding categories as above)
    - Placement Program for DD (1982 only)
  - Behavioral Health Services
    - State
    - Federal & Other Funds
    - Reimbursement to Behavioral Health Services
    - Reimbursement to Community MH/MR Centers
    - Behavioral Health Services Program for Social Services
    - Special Olympics
    - Study of Rehabilitation Centers
    - Placement Program
  - Greenbrier State Center
  - Colin Anderson State Center
  - Weston, Spencer, Huntington State Hospitals
    - (same funding categories)

II. INSTITUTIONAL SERVICES

3. Institutional Services includes funds for Colin Anderson and Greenbrier Centers which have only developmentally disabled residents; a portion (based on population) of Weston, Spencer, and Huntington Hospitals, which have both mentally ill and mentally retarded residents, and Barboursville Hospital prior to its closure in 1978. The State Executive Budget from `78-`80 combined all mental hospitals into one figure; therefore, actual expenditure figures and resident population statistics were obtained from the following sources at each facility.

Colin Anderson Center: Tom Stalek, Assistant Administrator, Colin Anderson Center, (telephone interview, 12/21 and 12/22/83).

Greenbrier Center: Norma Low, Business Office, Greenbrier Center, (telephone interview, 1/10/84).

Weston Hospital: Alex Cruz, Finanacial Office, Weston Hospital (telephone interview, 12/29/83). Precise population records are available only since August 1983. Since then, 24-25% of the residents are DD persons. Cruz felt the population has been stable and that our analysis should use the same percentage for FY 1977-82. In 1967 when the Department of Mental Health collected these statistics, 18% of Weston was classified as "mentally deficient." This suggests that DD persons have been in continuous residence at Weston for all the years of our analysis.

Spencer Hospital: John Bergman, Financial Manager, Spencer Hospital, (telephone interview, 12/28/83). According to Bergman, eventually Spencer will house all of the DD residents now at Weston and Huntington and will become a training center for DD residents only. Bergman had exact population figures for 1981-`84 only (20% DD). In 1967, the population was 19% "mentally deficient." Therefore, Bergman agreed that using 20% for 1977 -`80 would be a reasonable estimate.

Huntington Hospital: Brenda Thompson, Budget Control, Huntington Hospital (telephone, 1/4/84). Facility population figures from Betty Bick, Medical Records (telephone, 1/9/84). She suggested we use estimates of 25% for 1977-`82, 20% for `83 and 15% for `84. The facility is not admitting any more DD clients and all DD residents are to be transferred out by July `84.

Lakin Hospital: According to the Medical Records office at Lakin, although Lakin used to have a significant number of mentally retarded residents (18% in 1967, according to the Department of Mental Health Annual Report), they essentially had no MR clients during the period of our analysis.

Barboursville Hospital: All residents were DD adults until it was converted to a Veteran's Home in late 1977 or early 1978 (FY `78), according to Dr. Kerns, Office of Behavioral Services (telephone interview, 1/4/84). Therefore, 100% of the expenditures at Barboursville in FY 1977 are included in our analysis. Since FY 1977, no expenditures for Barboursville are included in our figures.

The estimated aggregated DD population at all MR and MH state centers and hospitals has been:

1977 - 1,165
1978 - 955
1979 - 926
1980 - 893
1981 - 861
1982 - 825
1983 - 729
1984 - 669

4. State General Funds: Ninety percent of state employees' salaries are paid out of the State General Fund. For these employees, fringe benefits (retirement, Social Security, Medical and Life Insurance) are budgeted and paid out of a central account in the State Auditor's Office. The remaining approximately 10% of employees' salaries are paid out of the Special Fund and their benefits are distributed to and budgeted at the program level. Therefore, the expenditures reported by the state institutions do not inlcude the bulk (90%) of the costs for fringe benefits.

An estimate of fringe benefits has been added to the State Funds Institutional Services category in our analysis. The estimate is for retirement and Social Security only. It does not include Medical and Life Insurance because those benefits vary so much by employee that it would be difficult to estimate. However, Retirement and Social Security account for the large majority of fringe benefit costs. Don Adams, Chief Clerk in the State Auditor's Office (telephone, 1/3/84), used expenditure reports which break out the amount of personnel costs at each state institution, and then took a standard 4 1/2% for retirement and the applicable Social Security percentage each year to determine estimated amounts for fringe benefits.

In our analysis for fringe benefits, we took the total amount that Mr. Adams reported for Colin Anderson, Greenbrier, and Barboursville Hospitals--but only a percentage of the amounts at Spencer, Huntington and Weston Hospitals representing the DD client population at those hospitals. After FY 1977, the Auditor's Reports combined all mental hospitals together. The percent of DD clients at each facility varies, so an estimated average percent to represent DD clients at all facilities was calculated for each year. For `78 - `82, we used 25% of Mr. Adams' calculations; in `83 - `84, we used 20% of his figures.

The following total amounts were added to our State Fund to represent fringe benefits for institutional employees serving DD residents.

FY	Fringe Benefits $ in thousands
1977	$ 911
1978	916
1979	1,038
1980	1,135
1981	1,227
1982	1,429
1983	1,284
1984	1,369 (projected)

Institutions in West Virginia are funded through the General Fund. Revenue from Title XIX and private pay receipts flow into the state GF and do not flow directly to the institutions accounts. Colin Anderson is the only ICF/MR state facility and was the only facility able to provide exact revenue figures from the various sources other than the GF. In our analysis, we reduced the MR/DD State Funds figures by the amount attributable to the Federal Title XIX share revenue and the private pay funds. Federal Title XIX ICF/MR funds and private pay sums were classified in the Federal Title XIX and Other State Funds categories of our analysis, respectively.

5. Other State Funds are private pay receipts. Although all facilities receive such revenue into their General Fund, only Colin Anderson was able to identify exact amounts for DD residents for inclusion in our analysis. Private pay collections at the Colin Anderson Center have recently increased, even though the resident population has been decreasing, due to an aggressive collections process, according to Tom Stalek (12/22/83, telephone interview).

6. Title XIX. Stalek, the Assistant Administrator at Colin Anderson, also noted that although the facility was certified as an ICF/MR in 1978, it did not receive any reimbursement funds until FY 1980. Stalek reported that the drop in Title XIX funds in FY 1983 was due to the fact that West Virginia was three months behind in receiving Federal payments. Stalek was not able to report when the reimbursements were earned--only when reimbursements were received. This accounts for the fluctuations from year to year noted in our analysis.

7. Other Federal Funds include:

   a. An estimated expenditure for FY 1977-`84 for the Foster Grandparent Program at Colin Anderson ($225,000 per year) from Tom Stalek (telephone, 12/22/83)

   b. FY 1977-`84 School Lunch Program funds at Colin Anderson and Greenbrier Centers.

   c. Titles VI-C and IV-C funds at Colin Anderson for the eight-year period.

   d. Estimated ESEA Title I/Chapter I dollars going to DD residents in institutions (there are also ESEA funds going to community centers, which appear under "Community Services"). The ESEA actual expenditures (for both DD and other children combined) for 1977 - `80 were obtained from Dr. Ed Moran, Compensatory Education Office, State Department of Education (telephone, 1/4/84) and for 1981 - `84 from Mr. Tom Johnson, Budget Director, Department of Health (letter, 12/12/83).

Dr. Moran provided the breakout of that portion of the funds which went to institutions and to the community mental health centers for community-based clients, for FY 1979-`84. He believed that all of the funds were going to the insititutions in FY `77 and `78. To determine what portion of total ESEA funds supported DD students, Dr. Moran suggested we derive estimates based on 95% of the funds flowing to hospitals and 75% of the funds deployed to CMHCs. Barbara Martin, who is presently the Administrator at Spencer State Hospital and who previously handled the ESEA account for all hospitals, suggested we use 75% overall (for the total program) to estimate the DD portion. Both methods yield figures within 10% of one another. We used Moran's calculations (see Note 11).

The ESEA program is administered by the state central office in Charleston. There are presently 15 teachers who are hired and paid by the Department of Education, but who actually work in the institutions. According to Dr. Moran, the reason for the drop in funds in FY `78 is a change in the law which allowed the funds to follow the child and flow to local education agencies. Also a gradual decline in funding over the years has occurred which is due to the depopulation of the state hospitals.

III. COMMUNITY SERVICES

8. Community services are provided through the 14 local Community Mental Health Centers. The Centers either provide the services themselves or contract with other community agencies.

   The state Executive Budget consolidates expenditures for DD, MI, and Alcohol and Drug Abuse. In fact, the Department receives one general appropriation of state funds for Mental Health and DD from the Legislature. The Fiscal Officer for the Office of Behavioral Health Services, Jim Elzey (letter, 8/16/83), provided us with an estimation of the portion of community program expenditures being expended for the DD population, based on reports of available funds. The figures he provided are about 30% of the total DD/MI/Alcohol expenditures for community services in West Virginia.

9. Title XX: According to Elzey (10/21/83 telephone interview), no Title XX funds are used for DD client services.

10. Title XIX: At this time, the only ICF/MR in the state is the state's Colin Anderson Center (see Note 6).

11. Other Federal Funds: These funds include ESEA, Title I/Chapter I funds from `79-84 which go to the community mental health centers (CMHCs) for supplementing special education programs. There is a large increase in `81 due to a state decision to start funding more CMHCs. The following amounts of ESEA are included: ($ in thousands)

   1979 - $15
   1980 - 14
   1981 - 85
   1982 - $122
   1983 - 136
   1984 - 186

   See Note 7 for source of figures. These amounts were added to the total figures provided by the Office of Behavioral Health Services cited in Note 8. Also included in this category of our analysis are DD formula grant funds provided by Mr. Elzey.

12. Private ICF/MR. There are no private ICF/MRs presently supported in West Virginia's budget. However, there are several private residential programs that have applied for ICF/MR certification. At least two agencies, Green Acres in Lesage and Potomac Center in Romney have been approved and will be earning Medicaid reimbursement in FY `85 (telephone interviews with the Directors of these agencies, 1/3-4/84).

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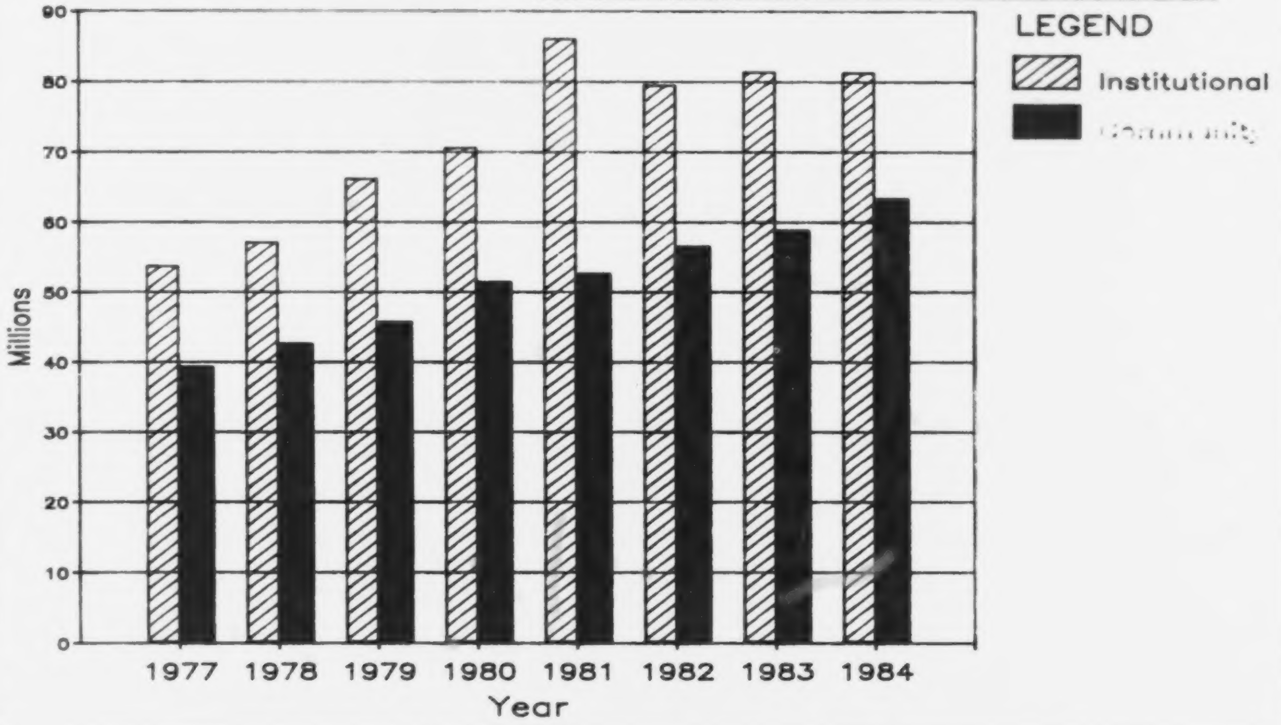
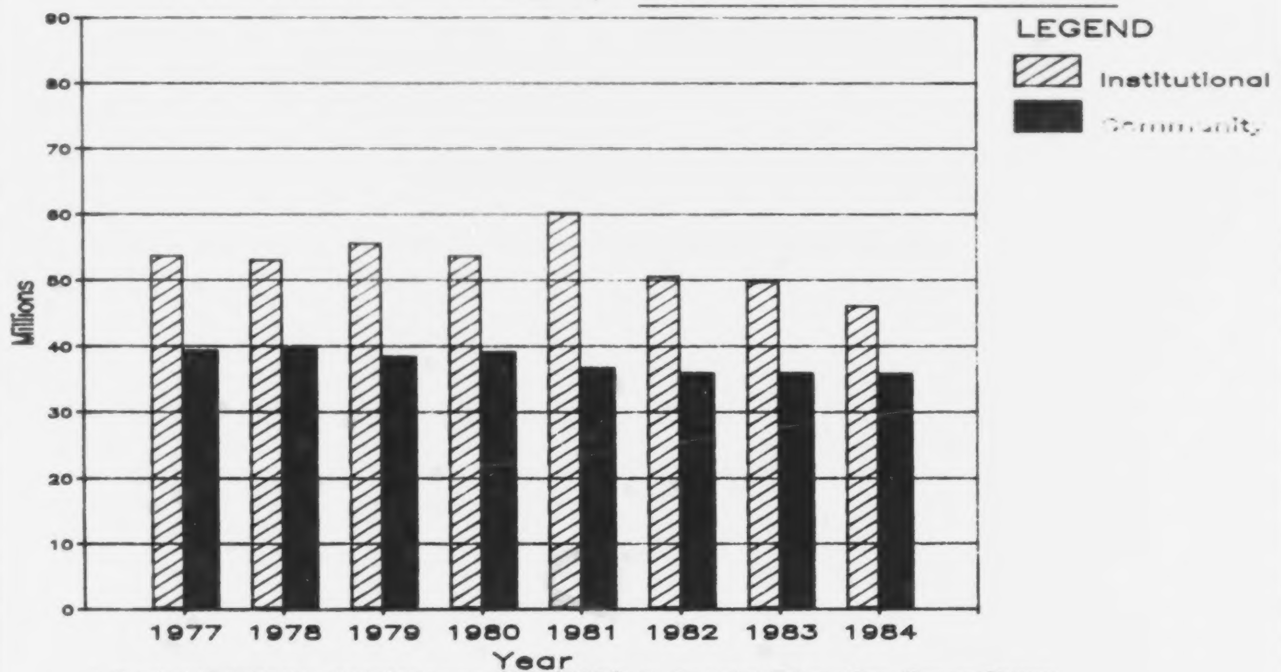
STATE PROFILE

WISCONSIN
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977–1984, *In Unadjusted Dollars*



FY 1977–1984, *In 1977 Dollars*

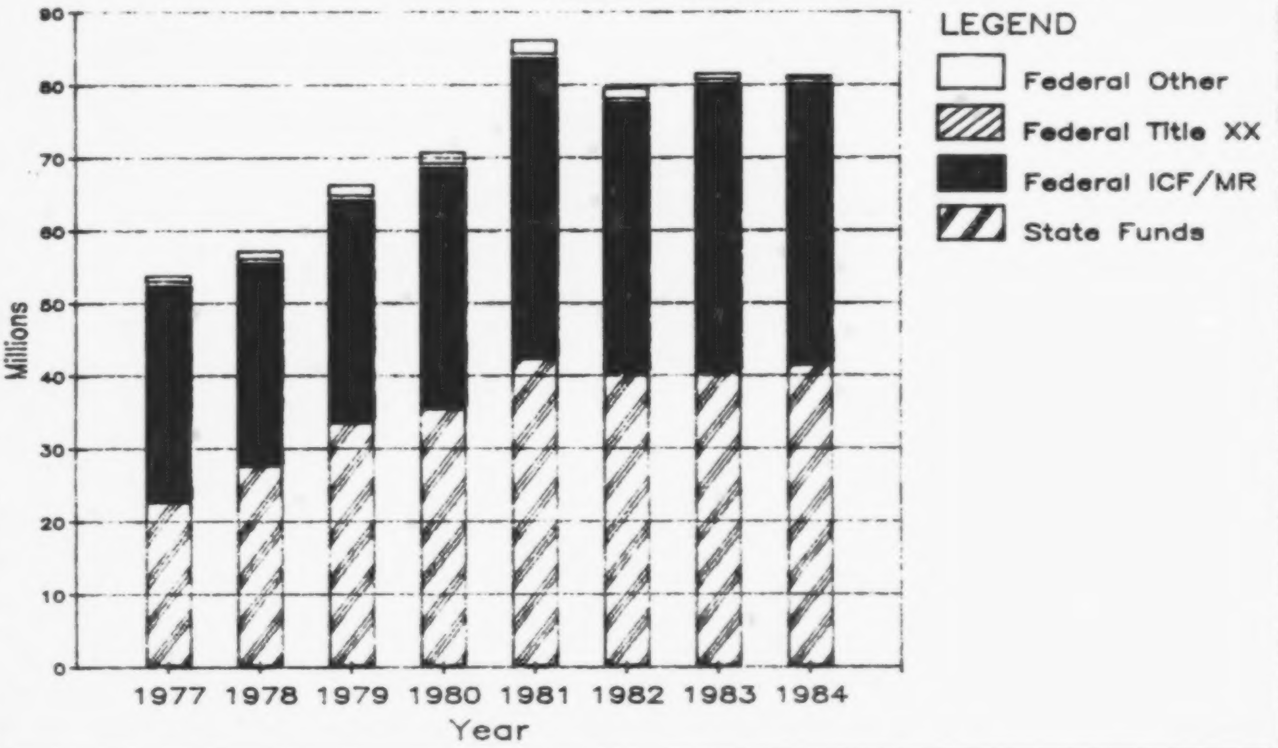


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

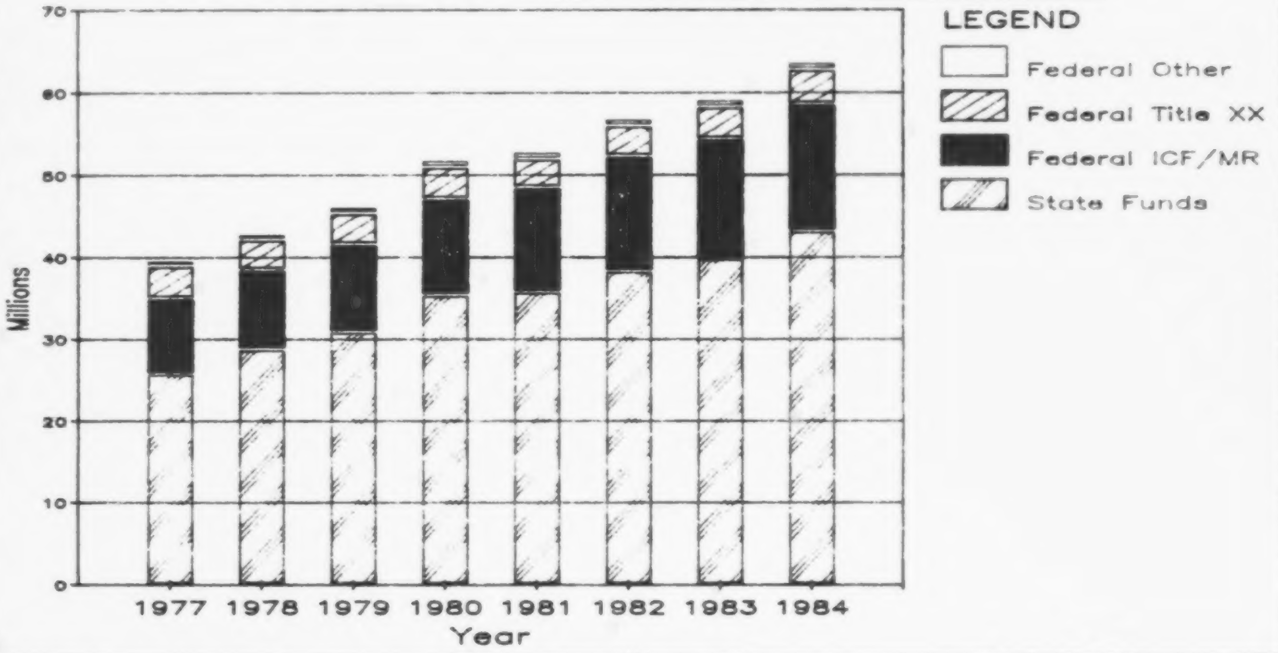
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



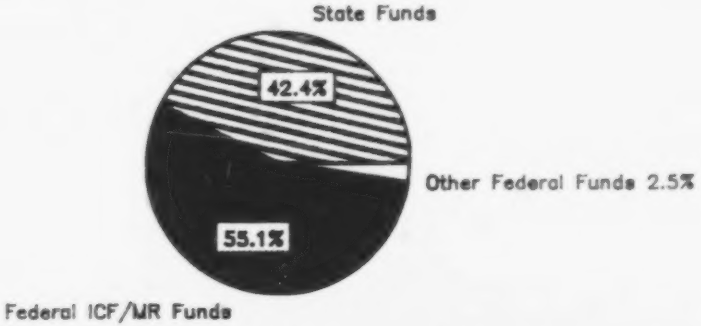
MR/DD Expenditures for *Community* Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



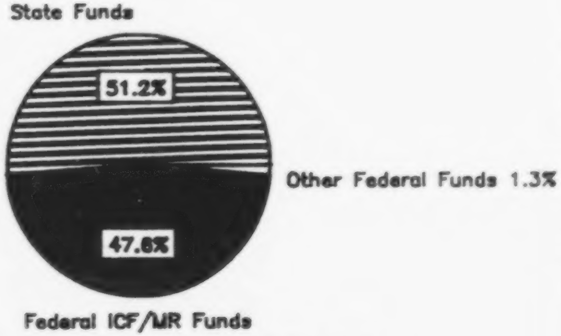
WISCONSIN

MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding

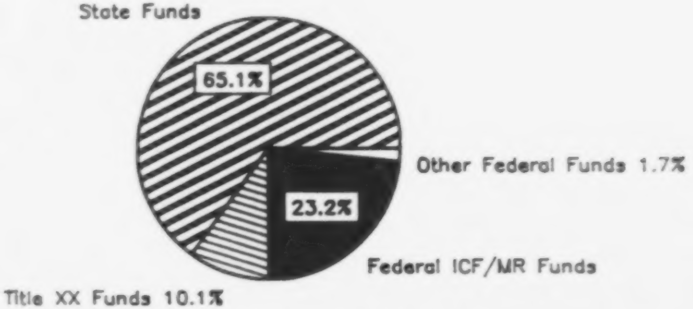
FY 1977 & 1984



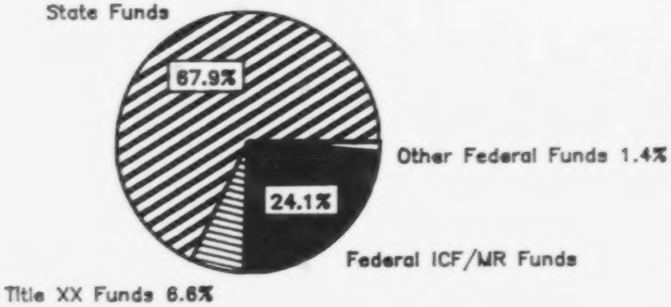
Institutional: 1977 Total Funds—$54.0 Million



Institutional: 1984 Total Funds—$81.6 Million



Community: 1977 Total Funds—$39.7 Million

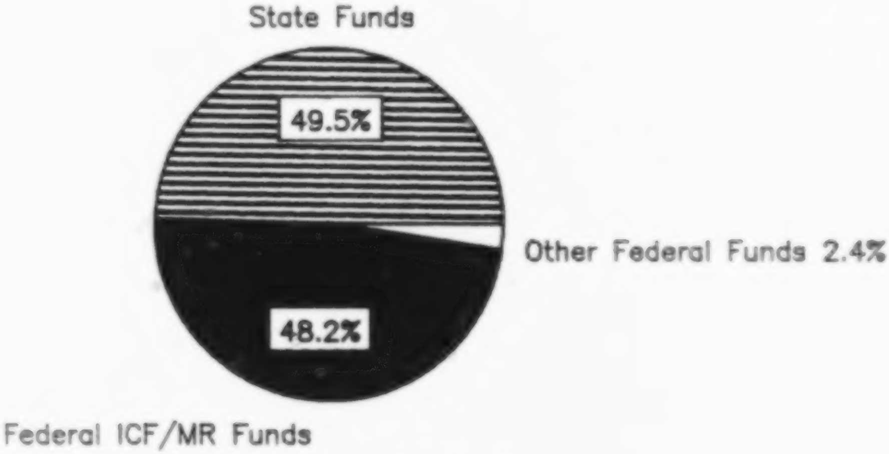


Community: 1984 Total Funds—$63.7 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

WISCONSIN
Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

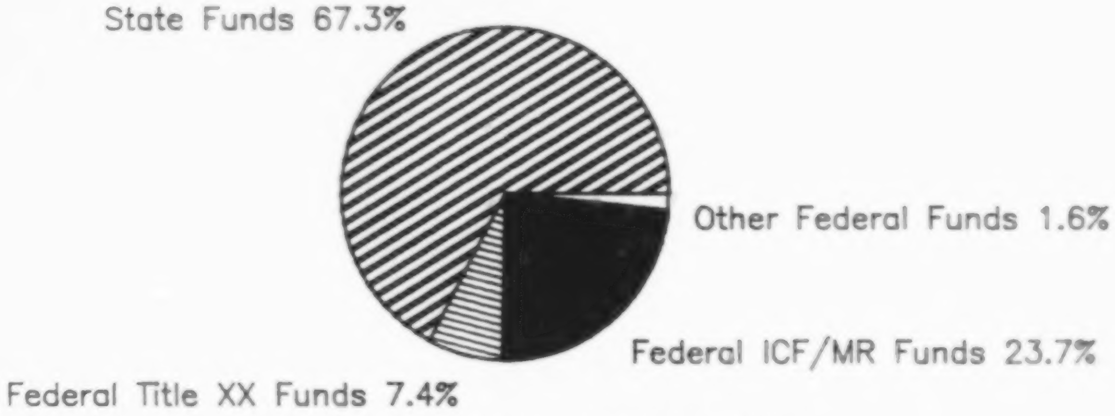
Institutional Services Funds



Total Institutional Dollars: $578.4 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)



Total Community Dollars: $413.4 Million

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

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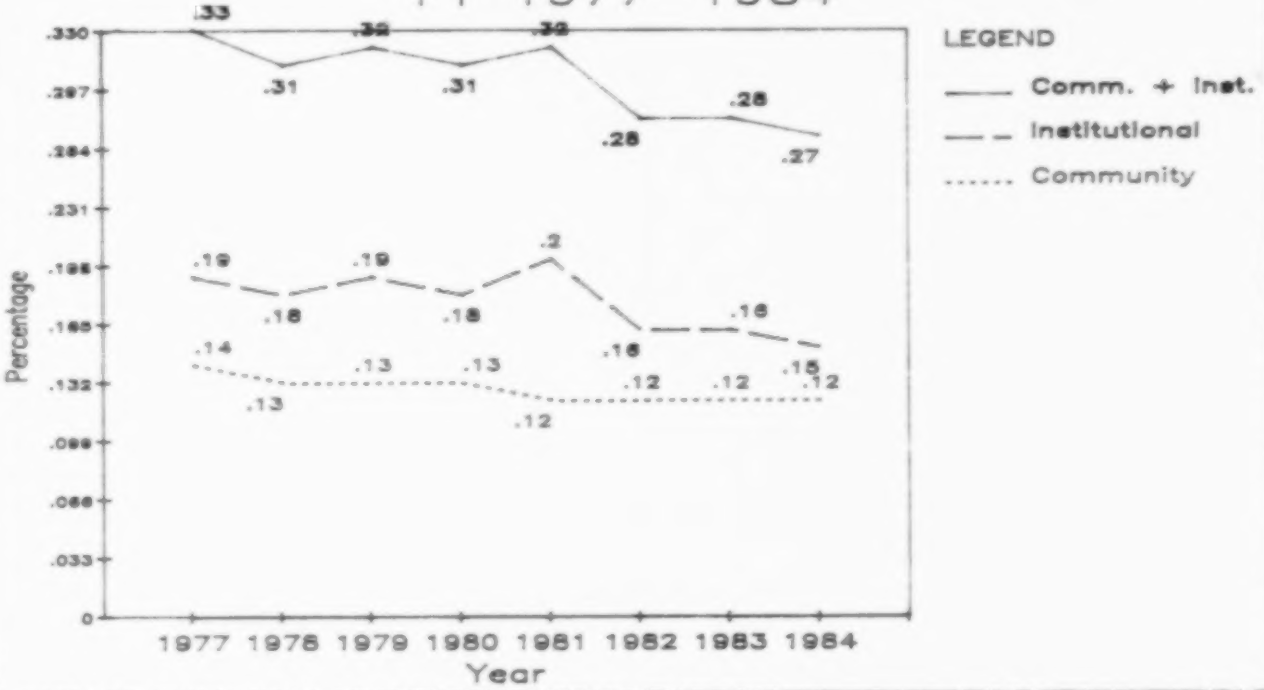
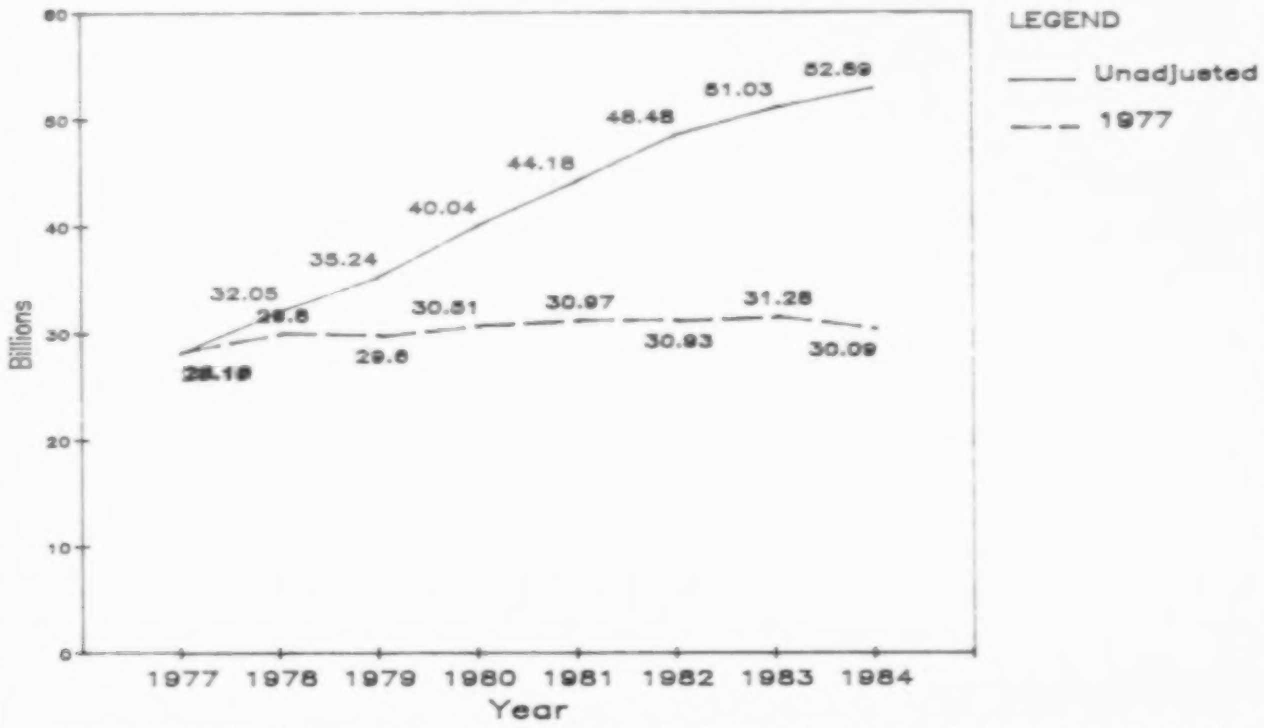
MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income:

FY 1977–1984



Personal Income Expressed in *Unadjusted* & *1977* Dollars

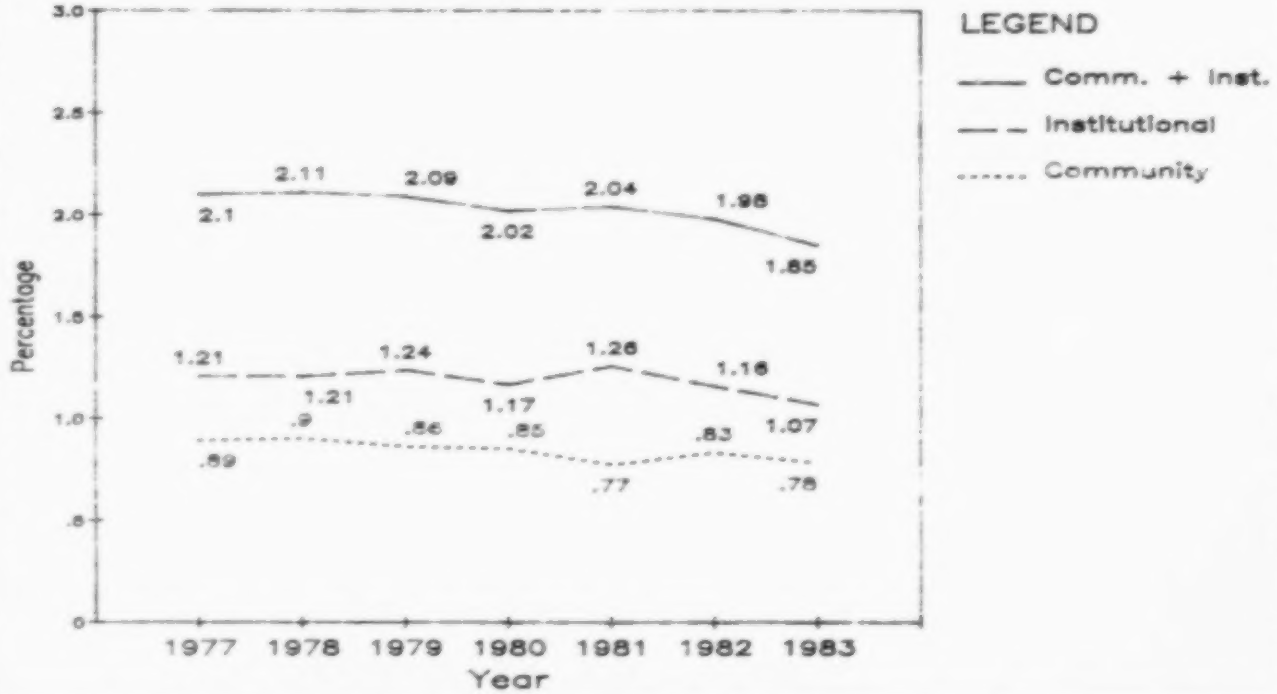
FY 1977–1984



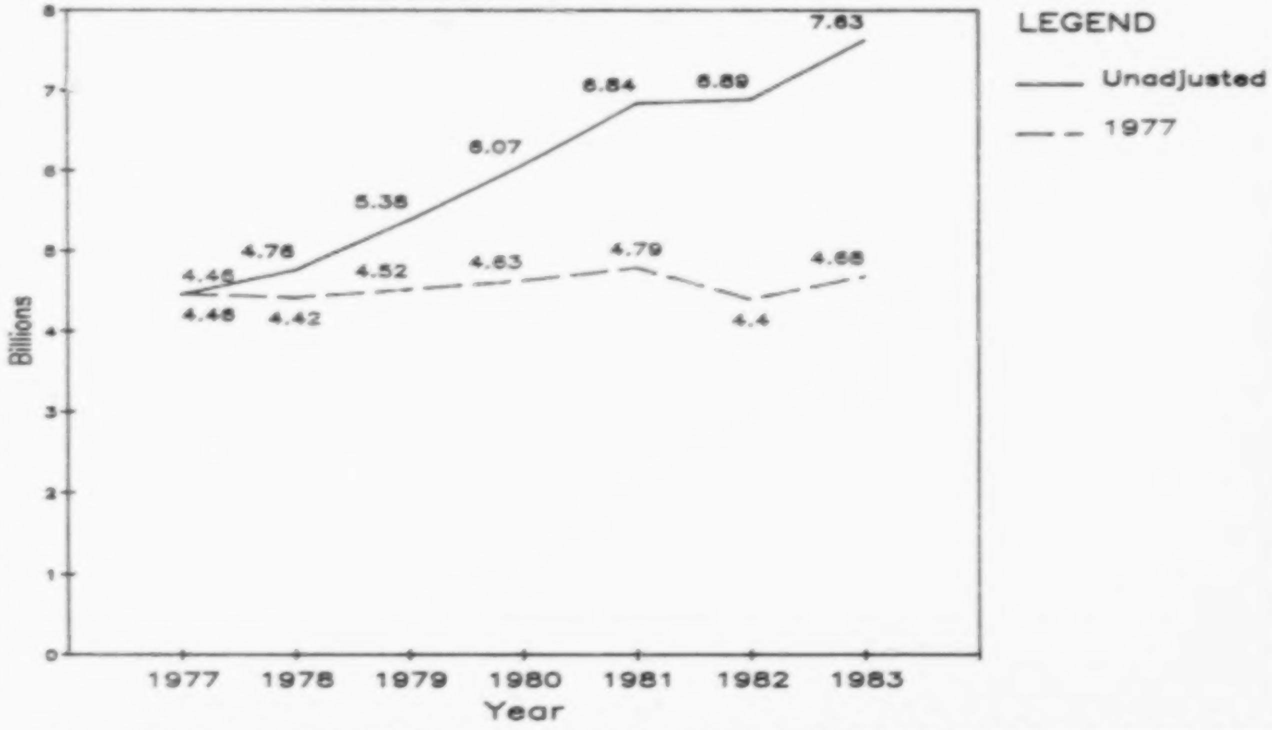
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



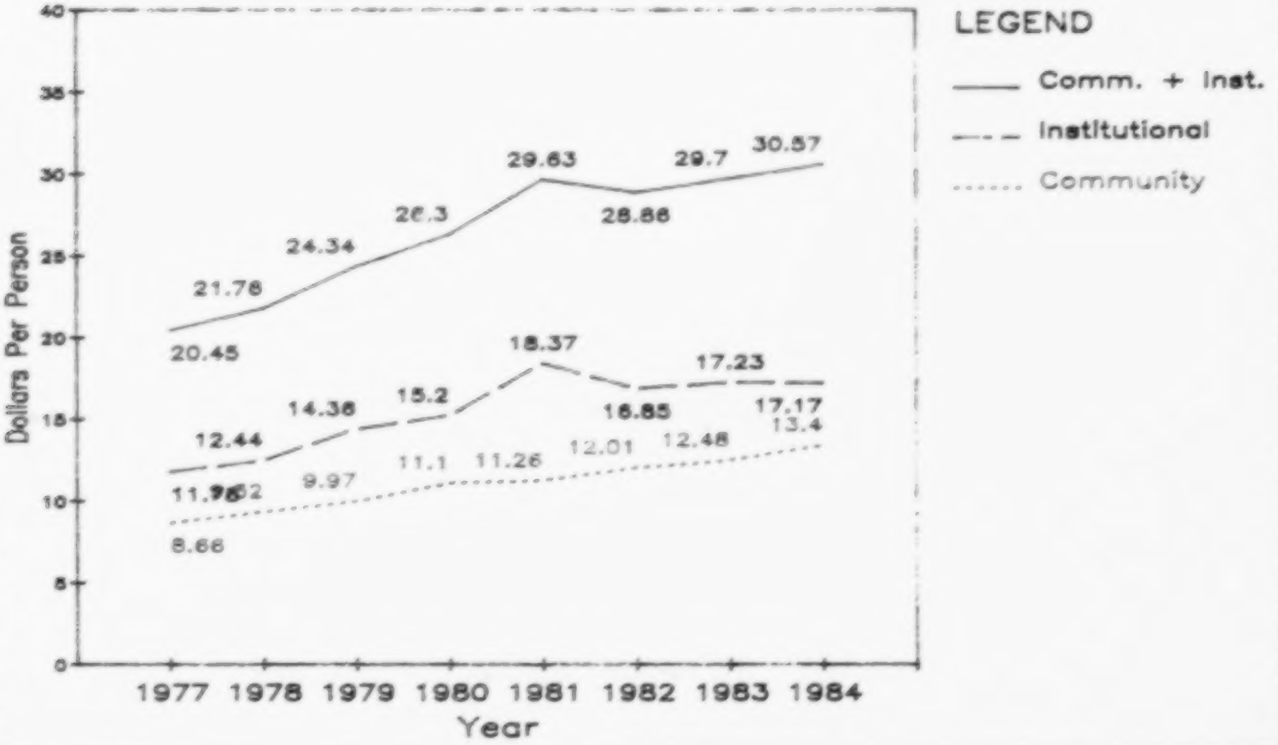
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



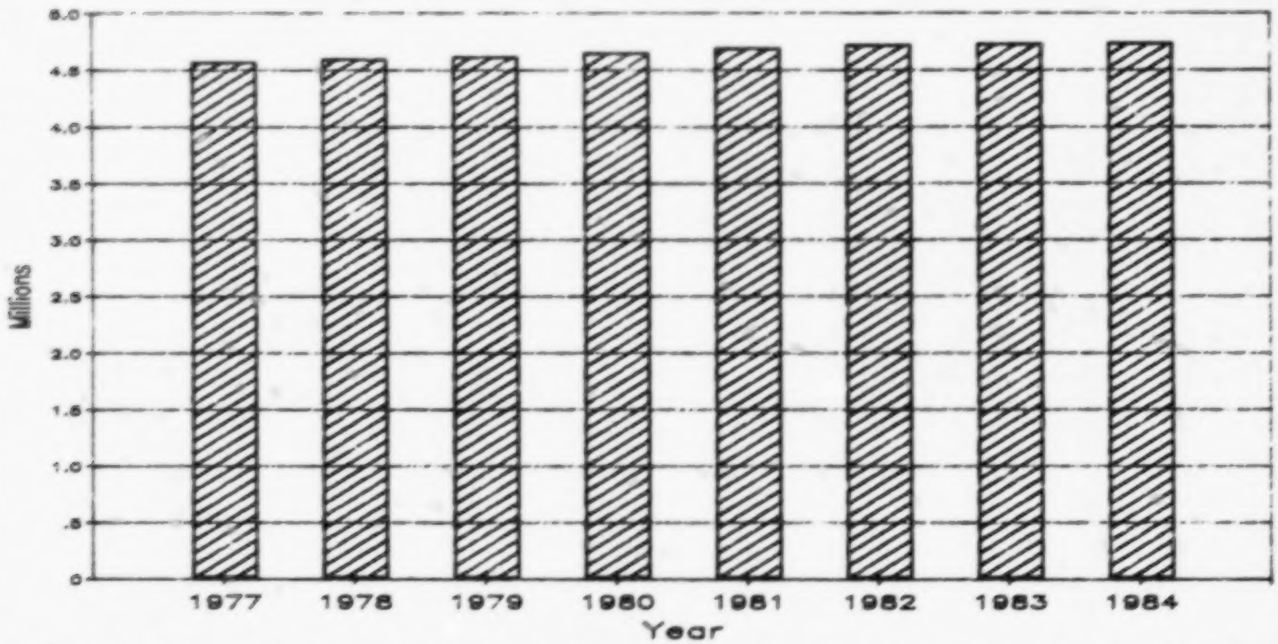
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN

MR/DD ***Institutional*** and ***Community*** Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

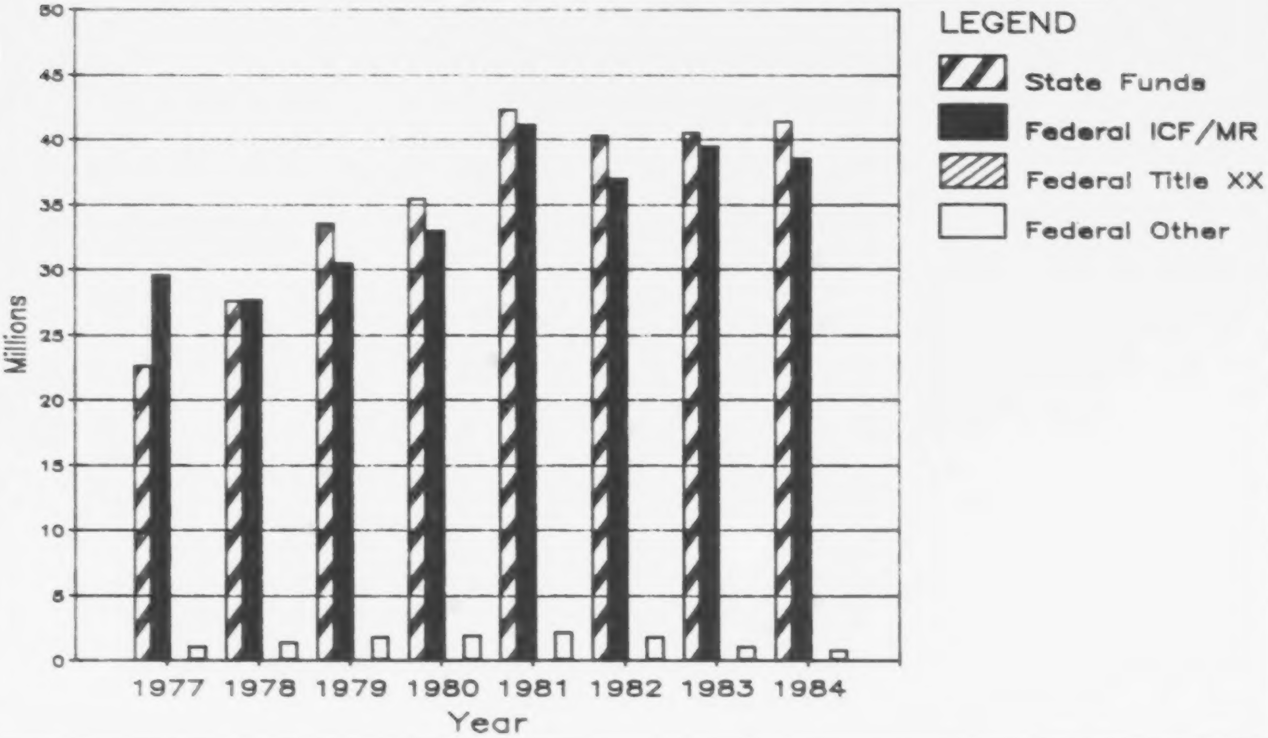


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

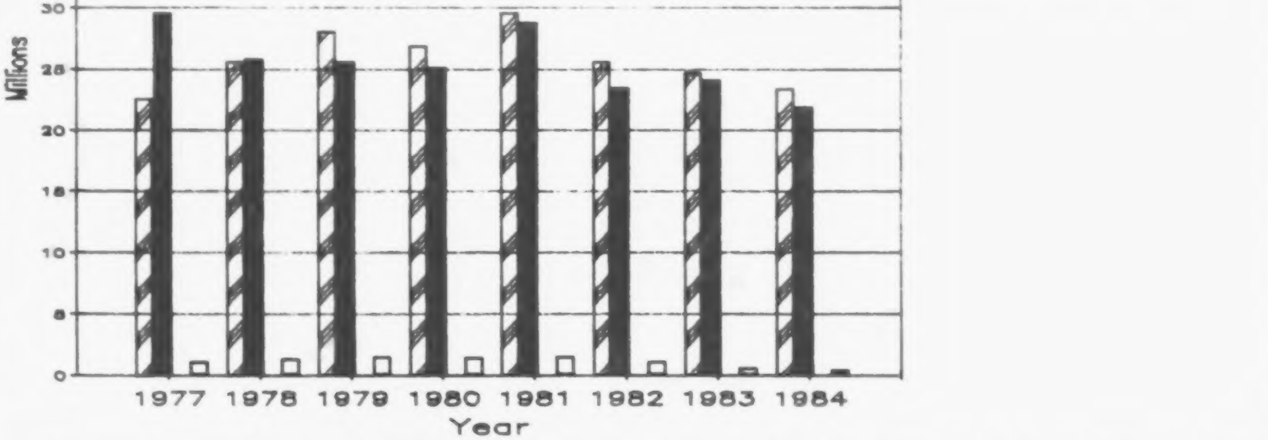
WISCONSIN

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



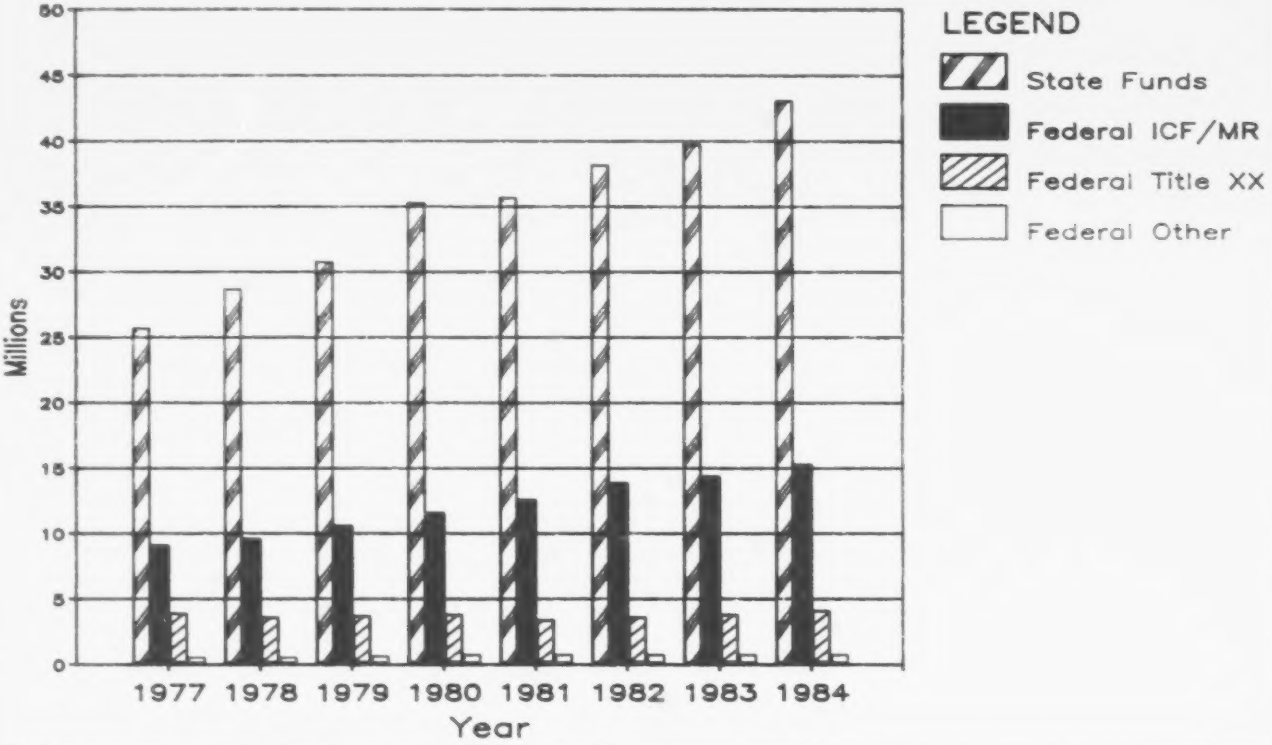
FY 1977–1984, *In 1977 Dollars*



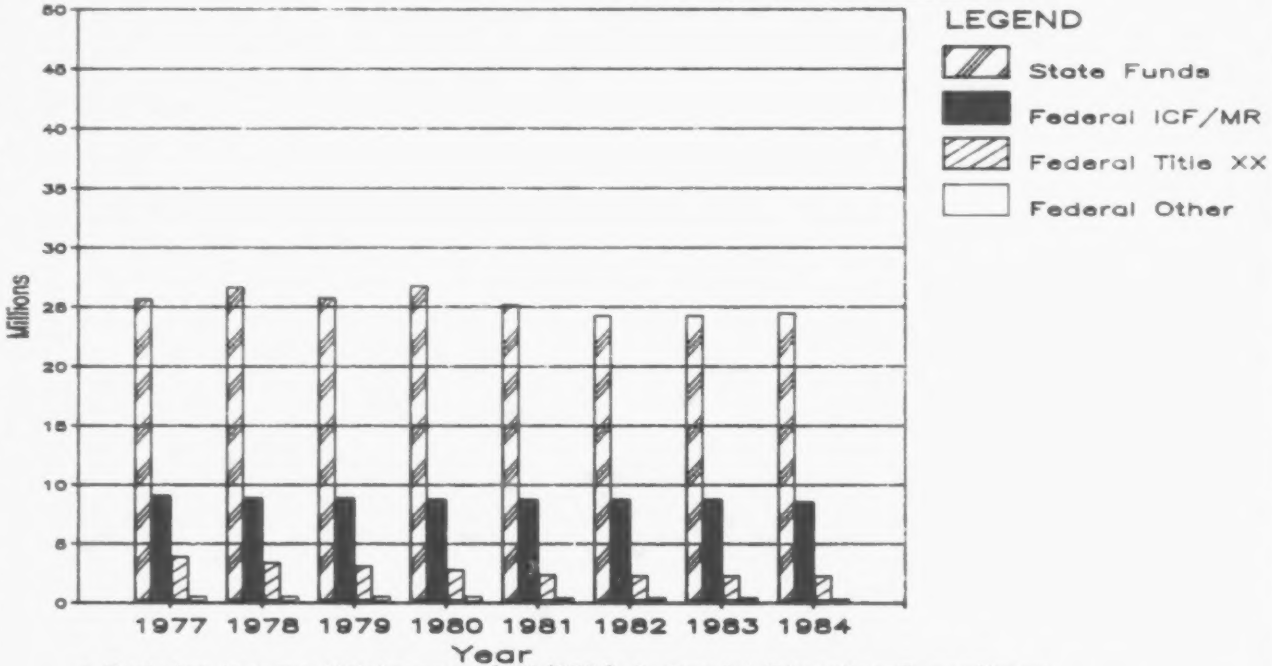
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



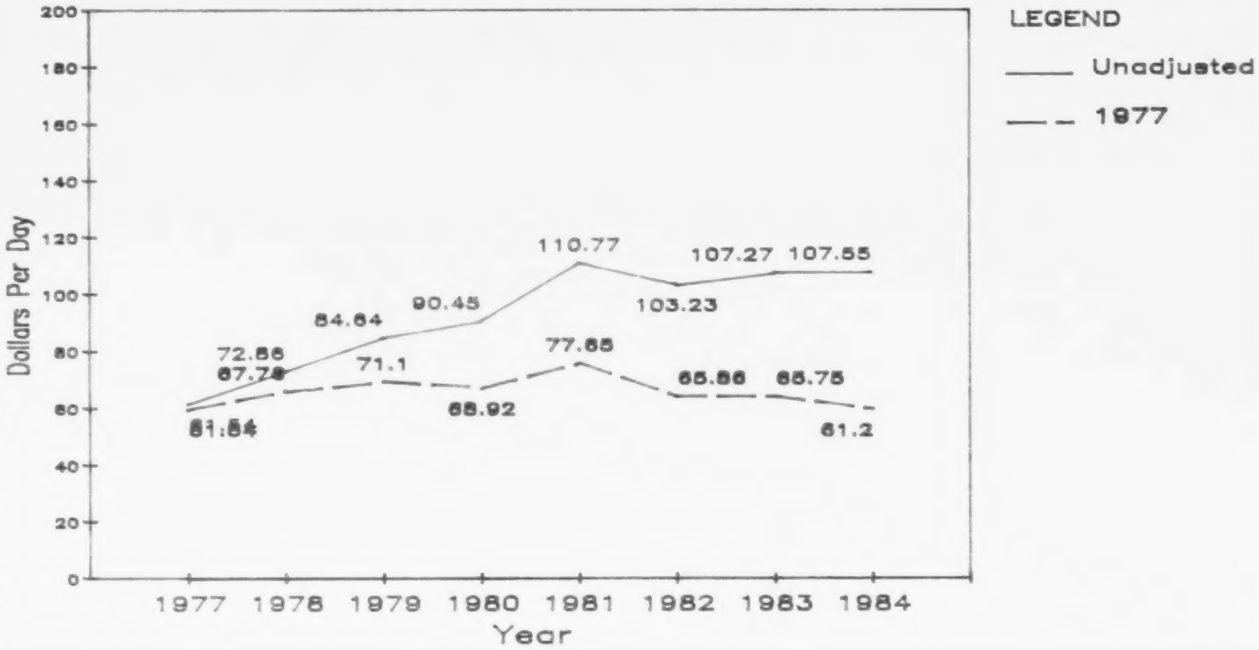
FY 1977–1984, *In 1977 Dollars*



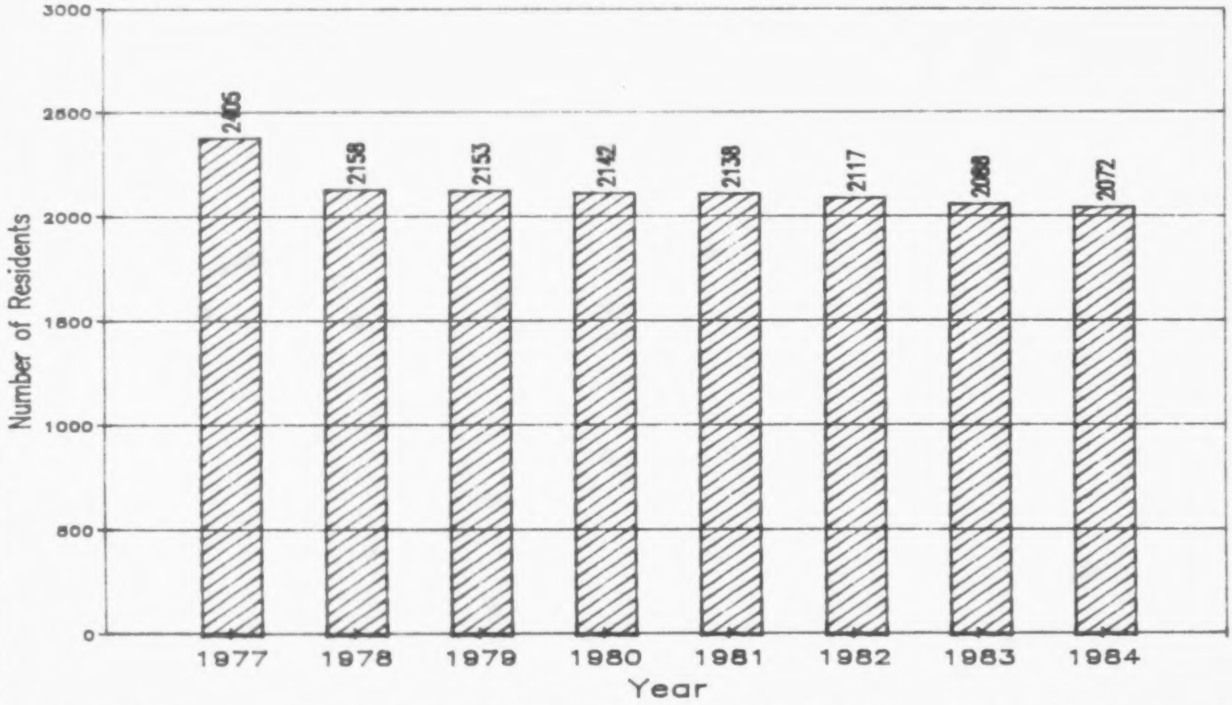
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN
Daily Expenditures Per Resident in Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WISCONSIN

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Principal MR/DD State Agency: Services to developmentally disabled people in Wisconsin are administered by the Department of Health and Social Services (DHSS). Institutional services are administered by the Division of Care and Treatment Facilities; community services are managed by the Division of Community Services. There have been several departmental reorganizations in the past eight years, but mental health and DD expenditures have always been consolidated in the Biennial Executive Budget documents. Therefore, to identify annual expenditures for DD services, DHSS was contacted and departmental personnel provided the needed figures.

2. Budget Format: Expenditure categories in the Wisconsin Executive Budget lack MR/DD detail, as indicated below. The years in which each division appeared in the budget are shown in parentheses.

Department of Health & Social Services (FY `77-`84)
        General Purpose Revenue
        Federal Revenue
        Program Revenue
        Segregated Revenue
    Mental Health Services (FY `77 only)
        DD Institutions
        Local MH Boards
        Administration & Field Services
    General Administration/Operations (FY `77-`84)
        (Same funding categories)
    Care and Treatment Facilities (FY `82-`84)
        (Same funding categories)
    Community Services (FY `77-`84--also included institutions FY `78-`81)
        (Same funding categories)

II. INSTITUTIONAL SERVICES

3. Institutional Services includes the three state centers: Northern, Central and Southern. Actual expenditures for operations were provided by Gloria Granberg, Budget Office, Division of Care and Treatment Facilities/DHSS (telephone, 1/5/84 and 1/10/84).

The resident population at the three Centers has declined over the past decade, although the rate of decline has slowed in recent years. In 1971, the combined resident population at the three Centers was 3,846. Since then, starting from 1977, the aggregated average daily population has been:

1977 - 2,405
1978 - 2,158
1979 - 2,153
1980 - 2,142
1981 - 2,138
1982 - 2,117
1983 - 2,088
1984 - 2,072

(Source: From annual reports, Gloria Granberg, telephone interview, 7/17/84)

The Governor's `83-`85 Budget contains funding for a new program called the "Community Integration Program" (CIP) which allows Medicaid funds (under the Home and Community-based Medicaid Waiver, which is in the process of being approved) to follow State Center residents as they are moved from the Centers to community placements. This program provides the "Chapter 51 Boards," which run the community programs, with the federal and state shares of the Medicaid reimbursements to finance community services for deinstitutionalized persons ($55 per day in Medicaid funds plus client SSI income). The vacated beds at the State Centers will continue to be funded at 85% of normal rates for a 90-day hold period. It is projected that 220 persons can be relocated under this program during the 1983-85 biennium. Although the cost of care in the community ($55 per day) is less than the $90 plus daily rate at the centers, savings to the state are not projected until the second year of the biennium (FY `85), when the bed-hold payments terminate (page 126, Executive Budget Policy Papers, 1983 - 85 Biennial Budget).

4. Other State Funds include: (a) state share of Medicaid, ICF/MR funds; (b) insurance and private pay patient receipts; and (c) starting in FY `79, County 51 Board payments. Starting in January, 1979, the state started billing the County Boards for a portion (amounting to about 5%) of the cost of care of clients under their responsibilty who were residents of the State Centers. Prior to this time, the State covered the total cost of care in the Centers. (G. Granberg, telephone, 1/6/84).

5. Title XIX Medicaid funds appear in the Executive Budget labeled as "Program Revenue." The federal and state shares are combined. In our analysis, the federal and state shares have been separated and the federal share is included as Institutional Services Title XIX.

   Consolidated Title XIX, ICF/MR figures were provided by G. Granberg (telephone, 1/6/84). These figures are gross collections on a cash basis, which accounts for year to year fluctuations. The big jump in FY `81 is due to receipt of back-year payments from HCFA. The following federal matching rates were used to calculate the federal and state share of the consolidated amounts.

FY `77	59.91%
FY `78 & `79	58.53%
FY `80 & '81	57.95%
FY `82 & `83	58.02%
FY `84	56.87%

6. Other Federal Funds include Medicare, Foster Grandparents, Title I-ESEA, Title IV - Deaf/ Blind program, and LSCA - Library Service grant. These funds are recorded in the Executive Budget under "Federal Funds." Under the Chapter I, ESEA Block Grant, the Centers received fewer funds than under the former Title I program, which accounts for the decline in this line in recent years (G. Granberg, telephone, 1/10/84).

III. COMMUNITY SERVICES

7. Community Services expenditures appear in the State Executive Budget under the Division of Community Services/DHSS. They are consolidated with expenditures for mental health community services, and with expenditures for the various Social Service Programs including AFDC and Food Stamps.

   Community services are administered and provided by Community Mental Hygiene Boards (now referred to as "Chapter 51 Boards" after the relevant statute section). The Boards are given a basic allocation each year (called "community aids") which consists of state General Purpose Revenue Funds and some Title XX funds. The Boards are required to match these funds with local dollars, and many counties also supplement the community aids above and beyond the required match amount. Most of the community aids allocation is not earmarked, which allows the Boards to determine their own local priorities for spending. The Boards report back to the state how they spent the funds. The figures used in this analysis are based on the actual expenditure reports from the local boards. Barry Jensen, Division of Community Services, DHSS (telephone, 8/29/83) provided net local county expenditures for DD services for FY `77 -`82. He also provided the total operation expenditures (state, local & federal funds) for all client groups (DD, MH, alcohol, etc.) for each of those years. Using the total operation expenditures and the net local DD expenditure figures, a percentage of the total operation attributable to DD services was calculated, resulting in the following percentages:

1977 - 32.6%
1978 - 30.5%
1979 - 30.9%
1980 - 31.4%
1981 - 28.9%
1982 - 30.4%

These percentages were applied to the annual totals of the state fund expenditures to determine a state fund expenditure figure for DD services only. To estimate the FY `83 and `84 expenditures, the `82 figures were increased for inflation based on the State and Local Governments' Price Index, a sub-index of the GNP Index (4.1%). The resulting '83 estimates were then increased (by 7.7%) to arrive at `84 estimates.

8. Title XIX According to Betty Franklin, Division of Community Services (telephone, 8/23/83), there are no state run community-based ICF/MRs.

9. Title XX: According to Jensen's records, $12,265,000 of Title XX funds were budgeted each year for MH & MR client services. He recommended estimating the amount of Title XX/Social Services Block Grant funds for DD clients by using the percentage that DD services comprised of the Title XX MI/DD operations. This ranged from 32.6% in 1977 to 30.4% in 1982 (see Note 7).

10. Other Federal Funds are Developmental Disability Formula Grant funds. Exact figures for FY `80-`83 were obtained from the Council on DD (letter, Marion Bates, 8/29/83). FY `77-`79 figures are from the Administration on Developmental Disabilities, Budget Office (correspondence, 6/18/84).

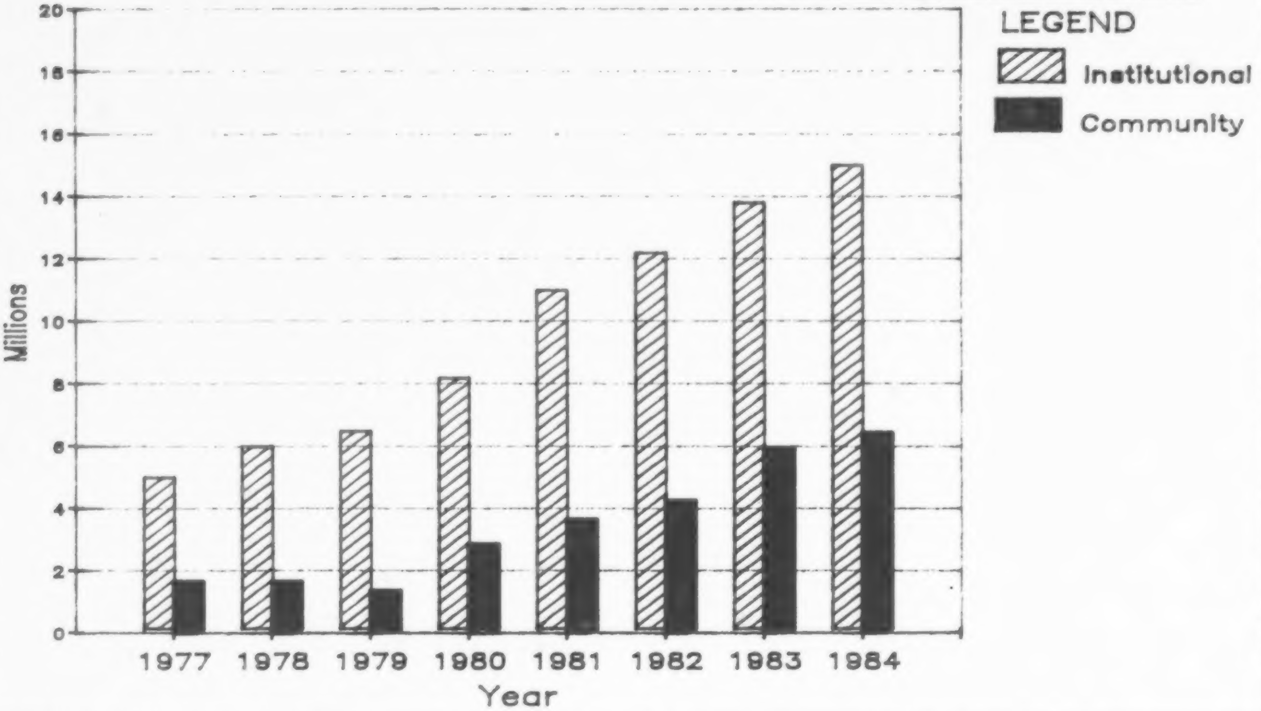
11. Private ICF/MR: There are approximately 30 privately-run community based ICF/MRs serving 1400 residents at $55 per day according to Randy McElhouse, Bureau of Health Care Finance/DHSS. He estimated that the total expenditures for these facilities in FY `84 would be $27,000,000 for the consolidated federal and state shares. McElhouse said that expenditures for these facilities are combined with all ICF reimbursements in the accounting records and it would be very difficult to obtain exact expenditures for the private ICF/MRs for the earlier years of our analysis. The population at private ICF/MRs has only changed by two percent or less over the past eight years, however. He therefore suggested that we deflate the `84 figure to obtain an estimate of expenditures for FY 1977-`83 (telephone interview, 8/31/83). We used the State and Local Governments' Price Index to generate the estimated FY 1977-`83 figures used in our analysis.

12. Local Funds play a significant role in Wisconsin's DD service system. Local funds are the net Chapter 51 Boards' expenditures for community services. These were provided by Barry Jensen (telephone, 8/29/83). These funds are not included in our analysis of Wisconsin's expenditures to facilitate comparison with other states, where local expenditures were not available. Over the FY 1977-`84 period, local (county) MR/DD expenditures advance from $217,000 to $13,000,000.

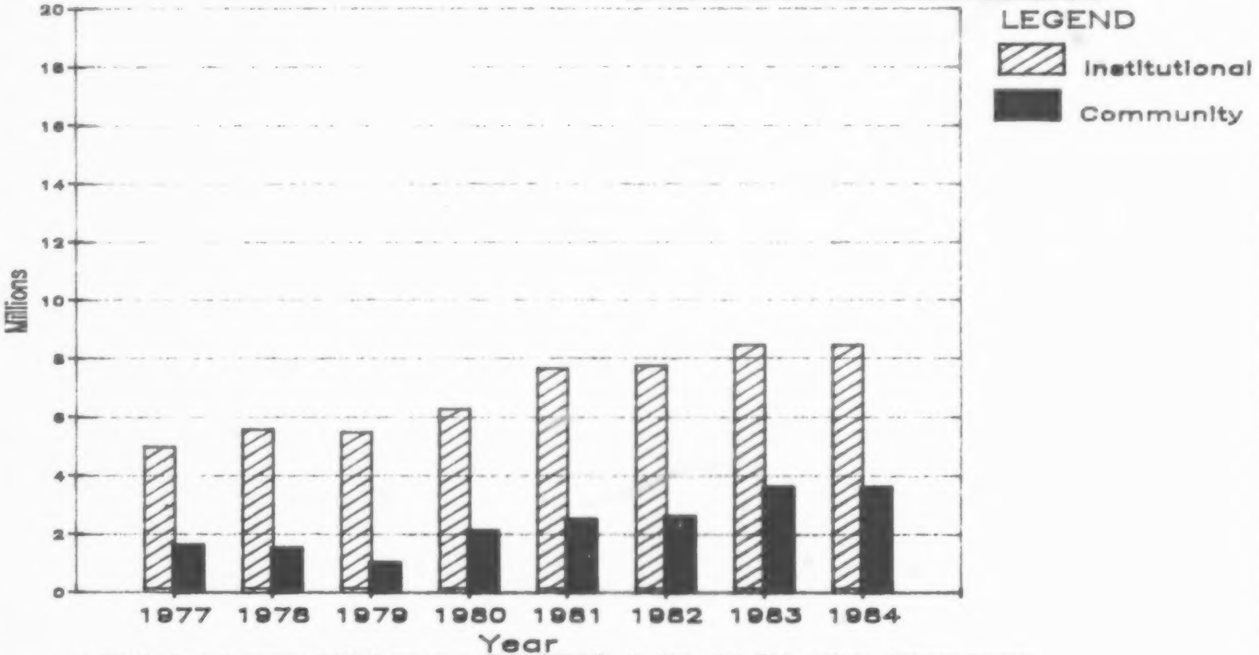
WYOMING

STATE PROFILE

WYOMING
Comparative Annual MR/DD Expenditures for *Institutional* & *Community** Services
FY 1977—1984, *In Unadjusted Dollars*



FY 1977—1984, *In 1977 Dollars*

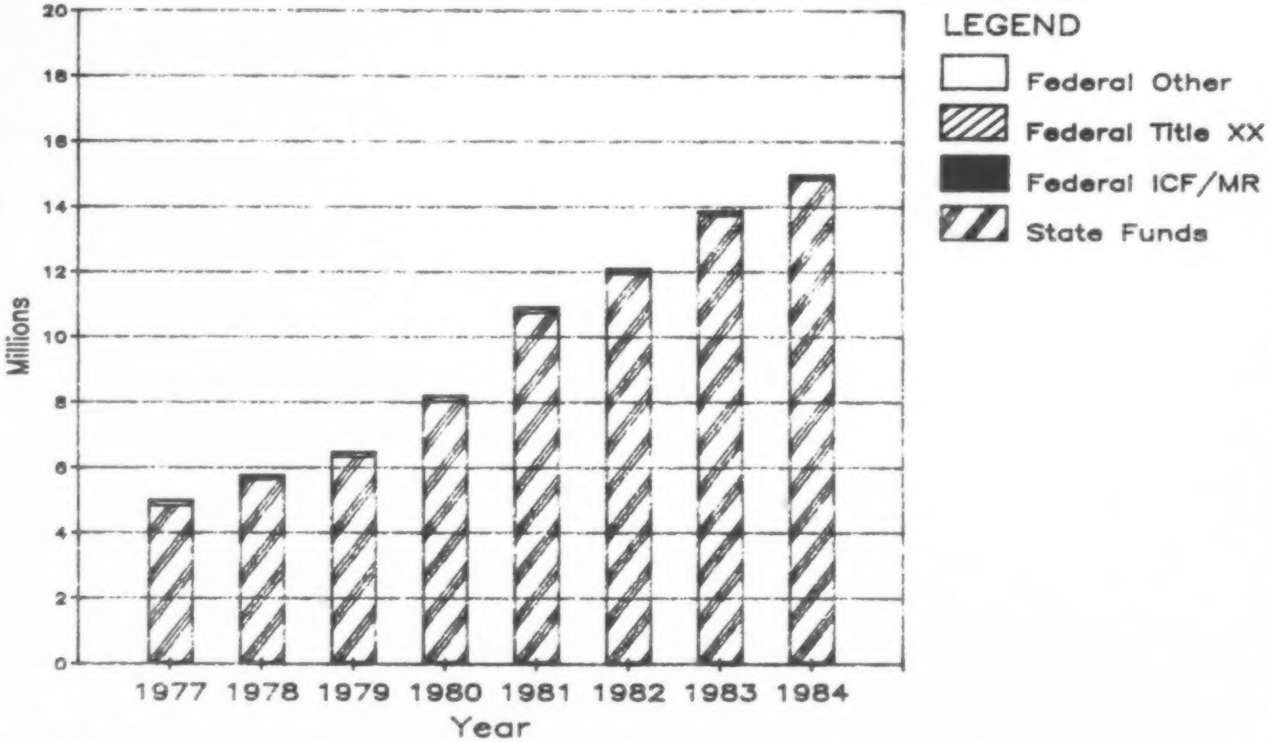


* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

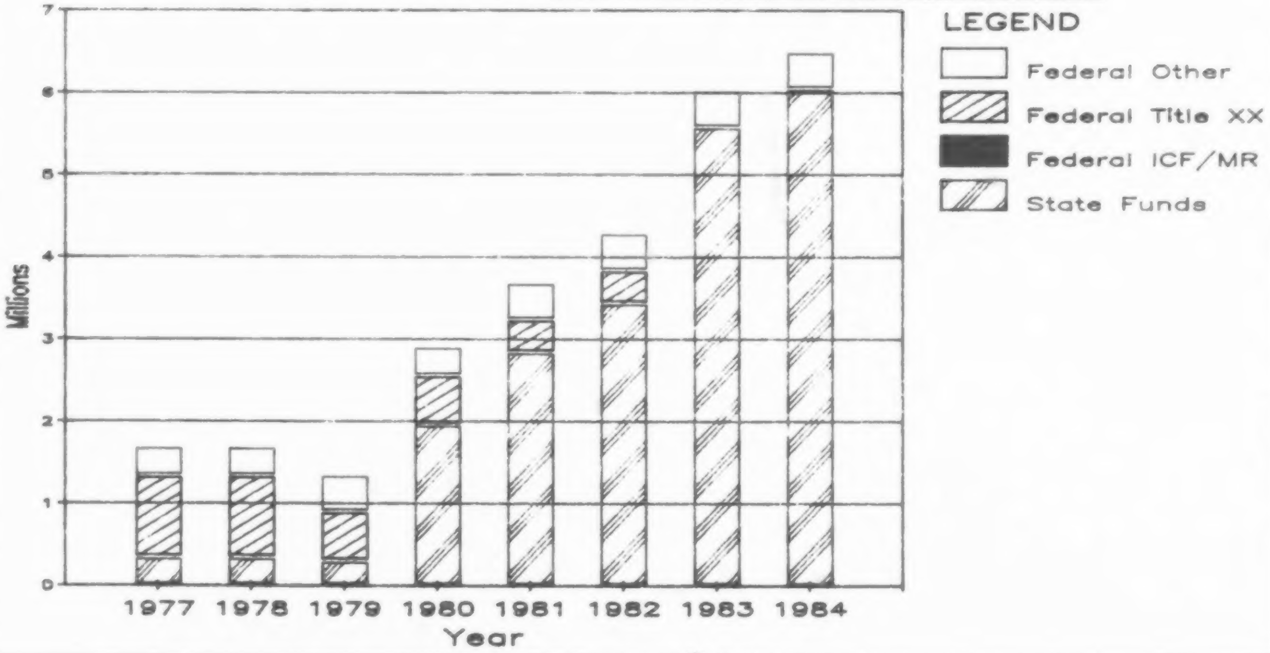
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

MR/DD Expenditures for *Institutional* Services:
A Comparison of State & Federal Funding
FY 1977--1984, *In Unadjusted Dollars*

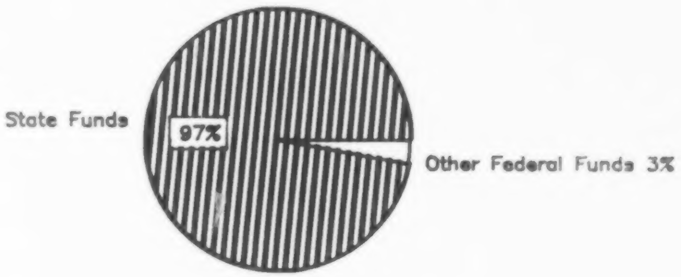


MR/DD Expenditures for *Community* Services:
A Comparison of State & Federal Funding
FY 1977—1984, *In Unadjusted Dollars*

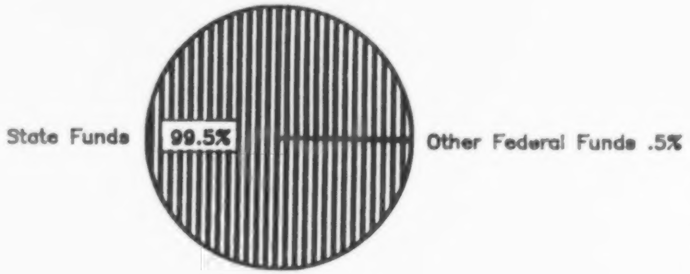


WYOMING

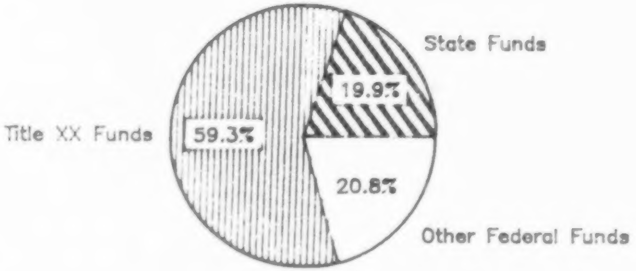
MR/DD Expenditures for *Institutional* & *Community** Services: A Comparison of State and Federal Funding FY 1977 & 1984



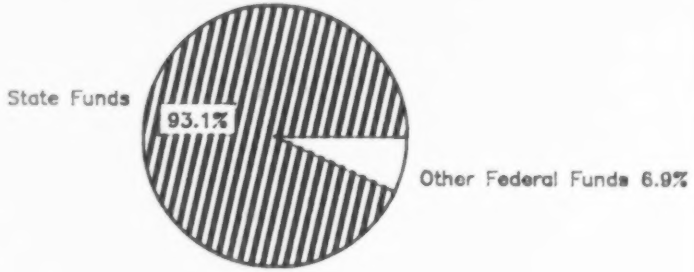
Institutional: 1977 Total Funds--$5.0 Million



Institutional: 1984 Total Funds--$15.0 Million



Community: 1977 Total Funds--$1.7 Million



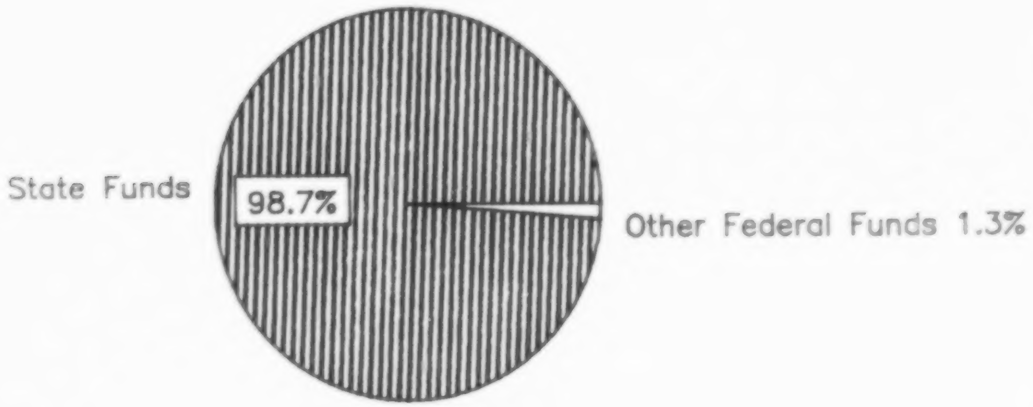
Community: 1984 Total Funds--$6.5 Million

*Excludes Income Maintenance (SSI/SSDI) & Special Ed. Funds; Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chgo, 1984

WYOMING

Eight Year Total MR/DD Expenditures By Revenue Source: FY 1977–1984

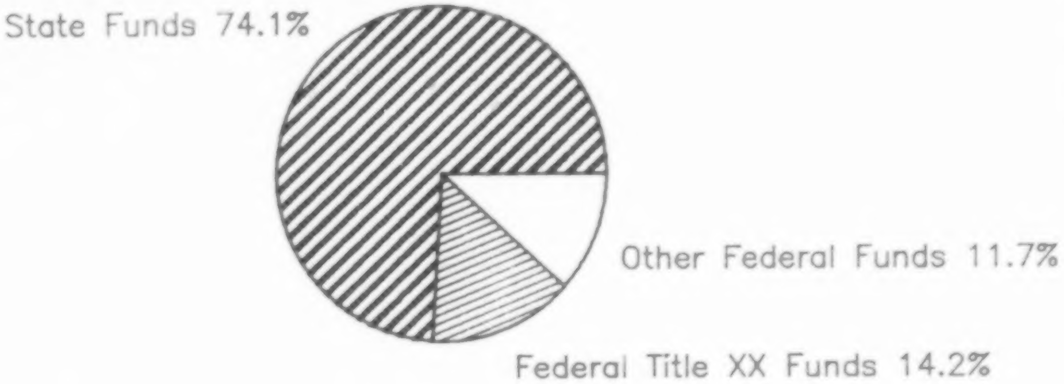
Institutional Services Funds



Total Institutional Dollars: $77.7 Million

Community Services Funds

(Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures)

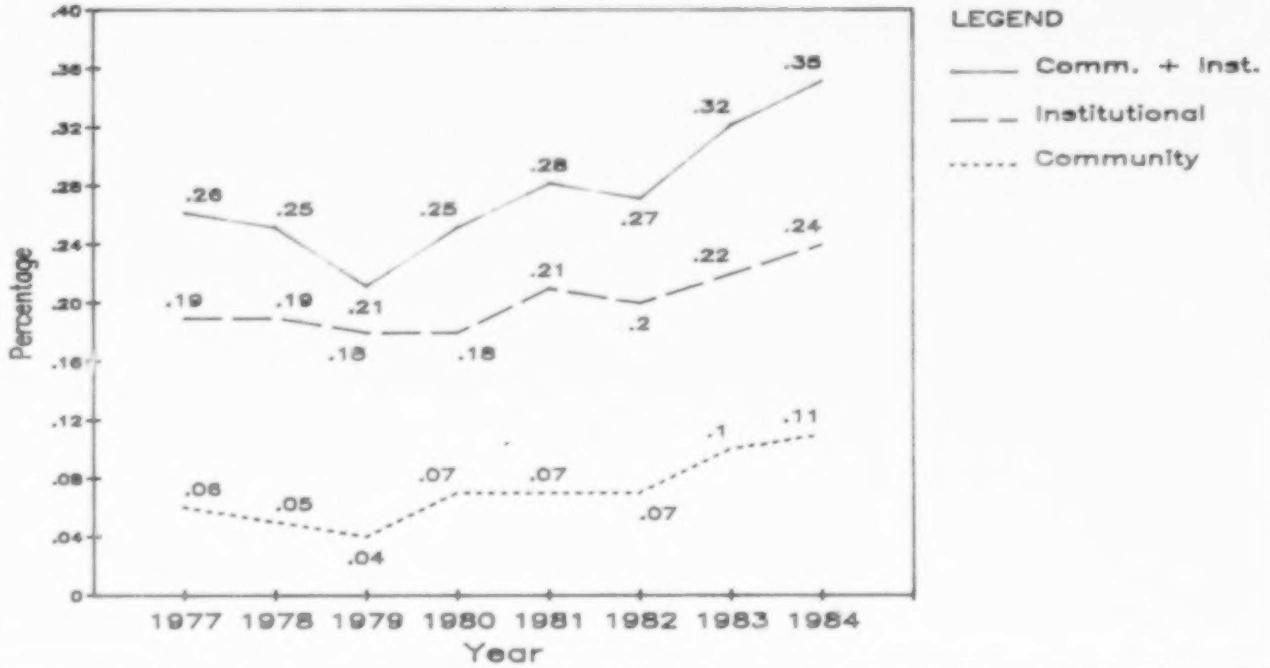


Total Community Dollars: $28.1 Million

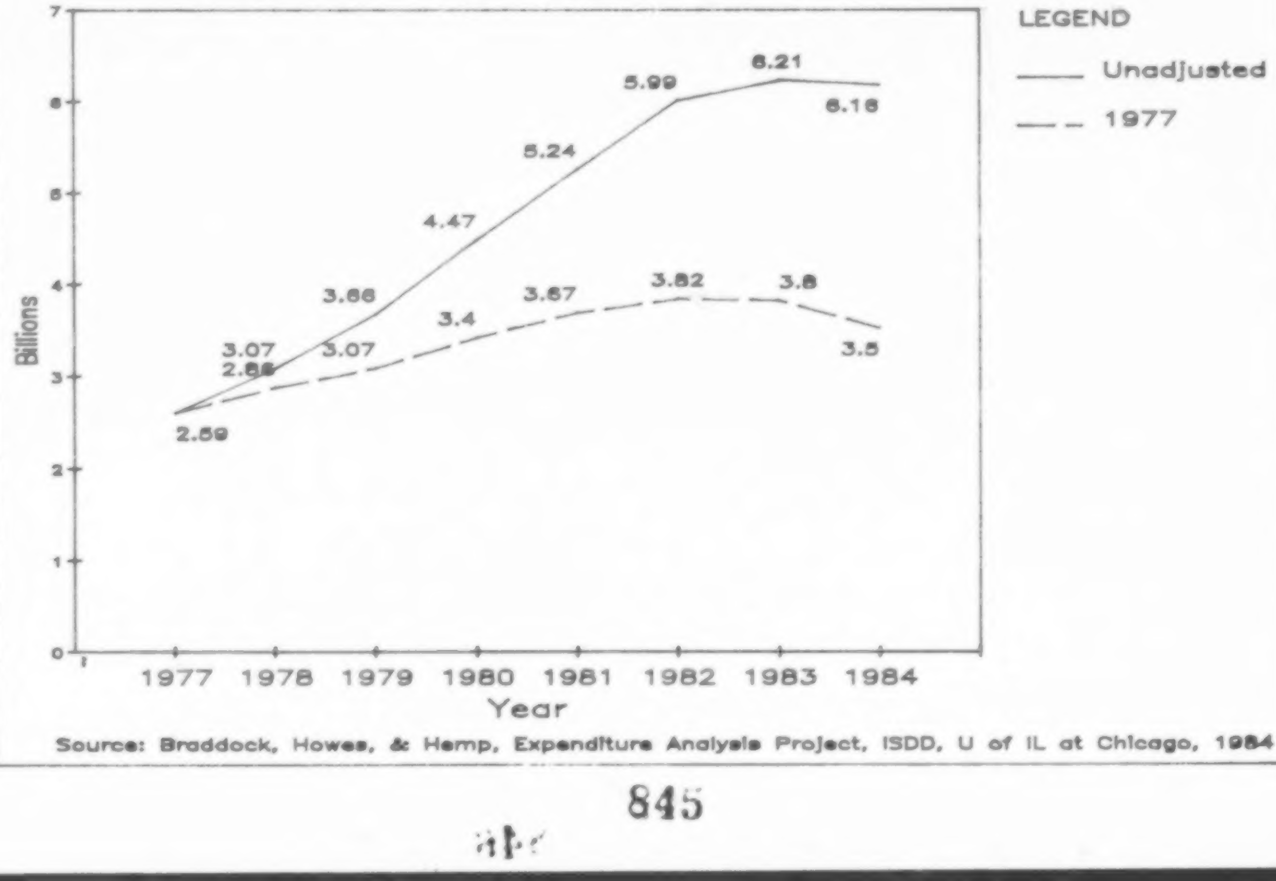
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

MR/DD Expenditures for *Institutional & Community* Services as a Percentage of Personal Income: FY 1977–1984



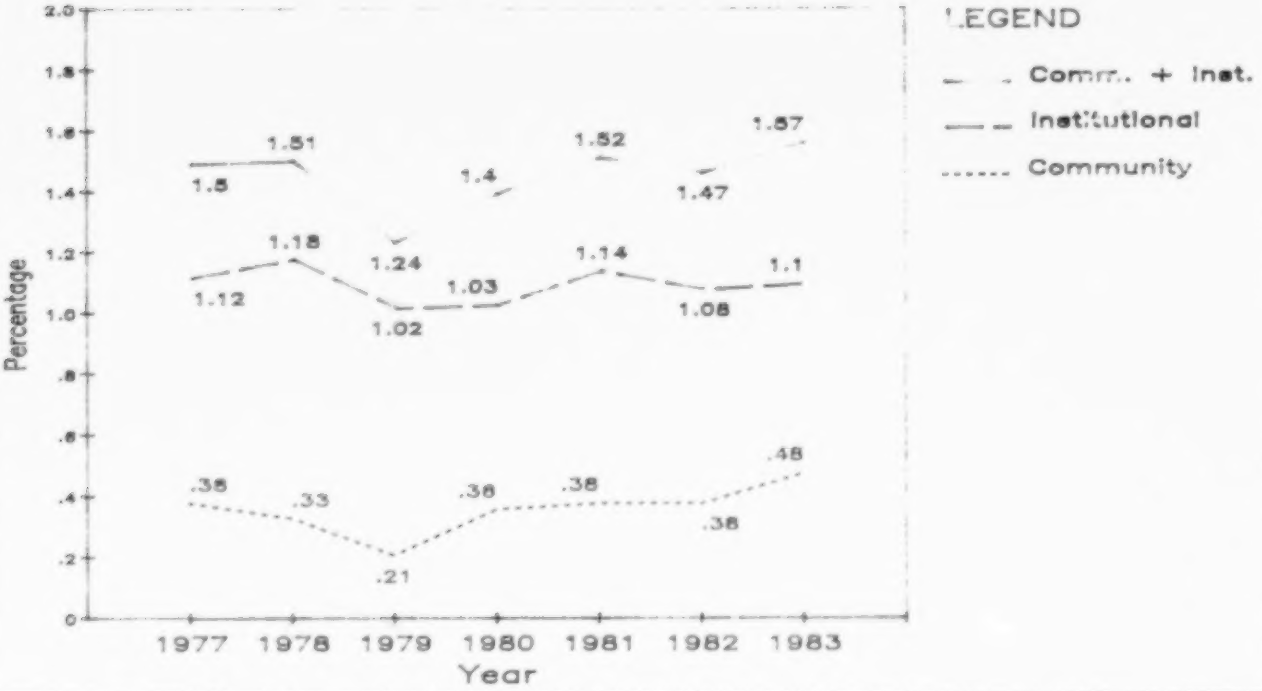
Personal Income Expressed in *Unadjusted* & *1977* Dollars FY 1977–1984



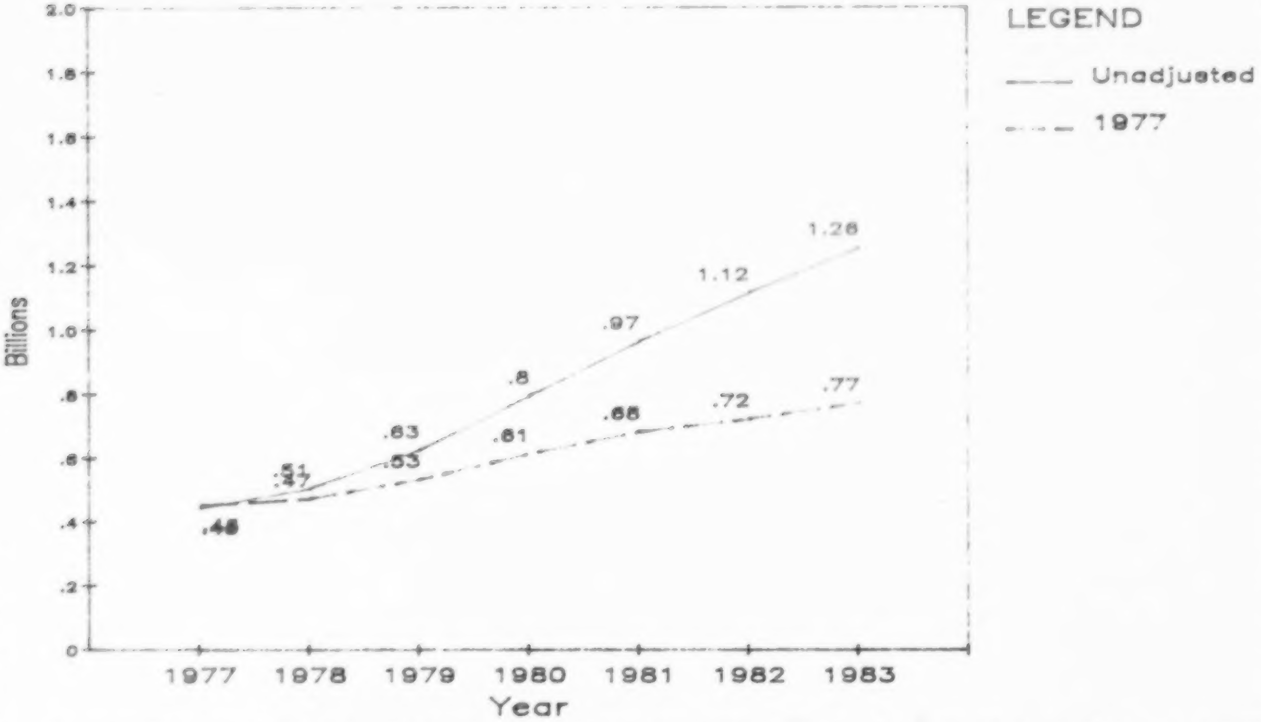
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

Relative Growth of MR/DD Expenditures for *Institutional* & *Community* Services as a Percentage of the Total State Budget: FY 1977–1983



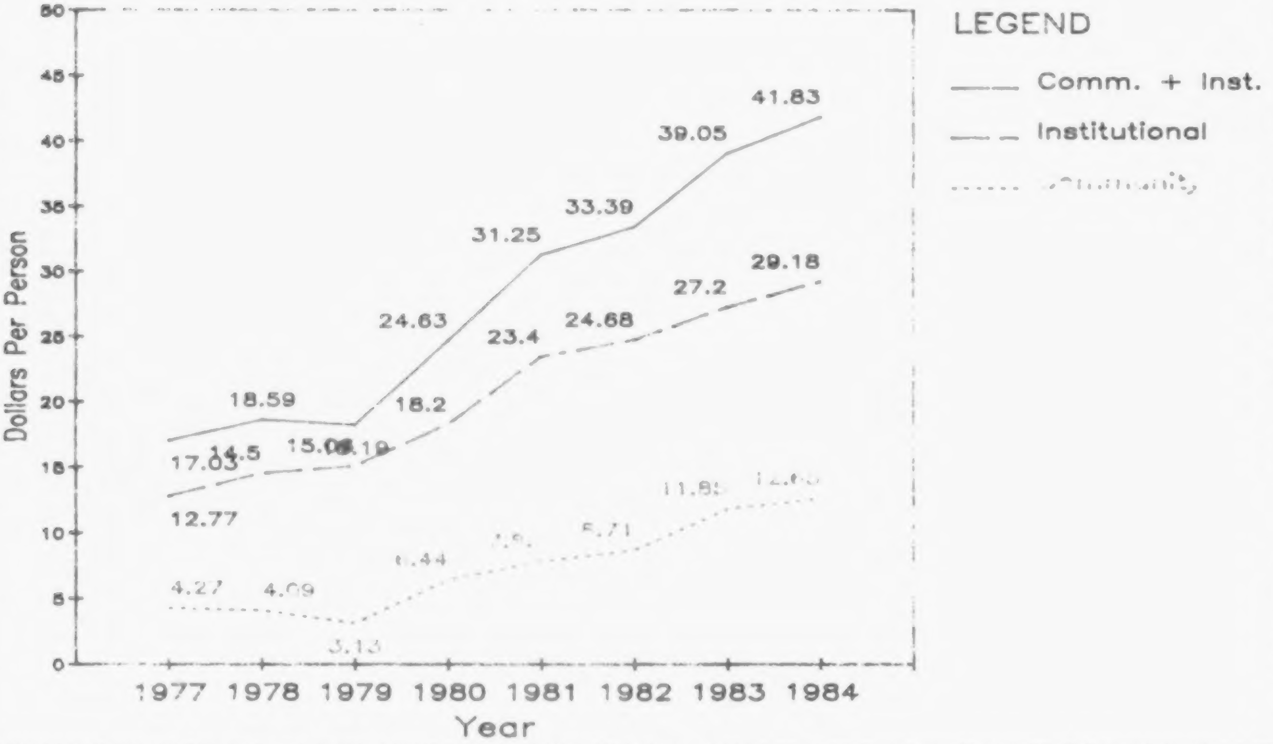
The Total State Budget Expressed in *Unadjusted* and *1977* Dollars: FY 1977–1983



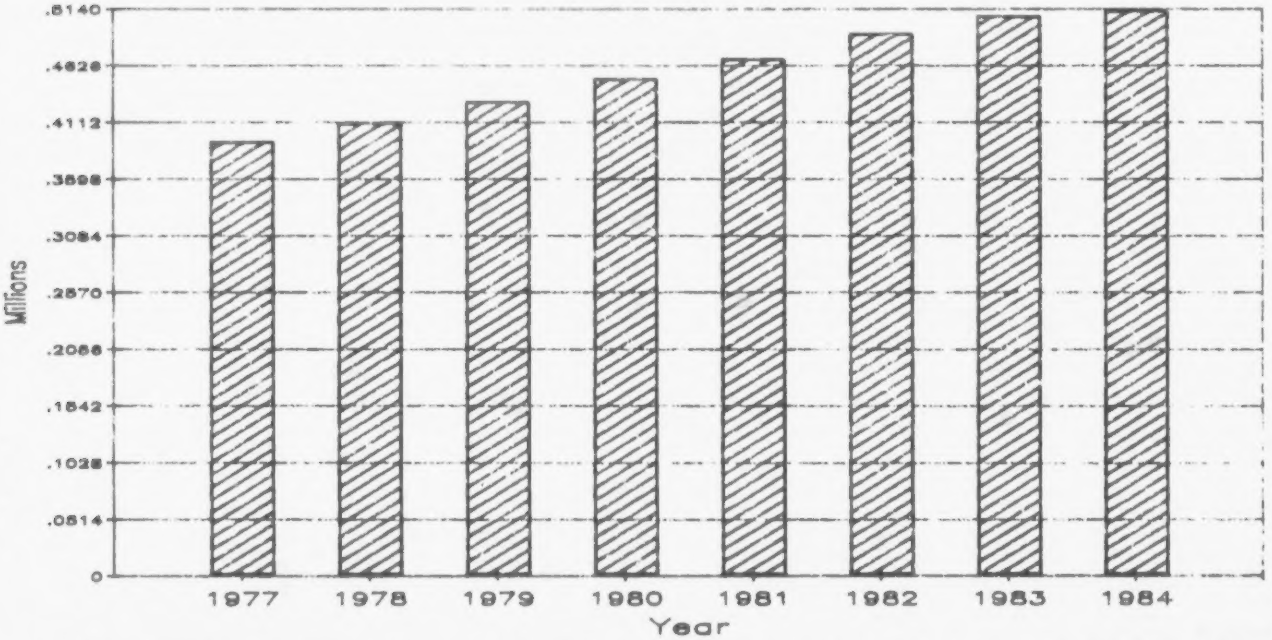
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

MR/DD ***Institutional*** and *Community* Services Expenditures Per Resident of the State's General Population: FY 1977–1984



The Total State General Population FY 1977–1984

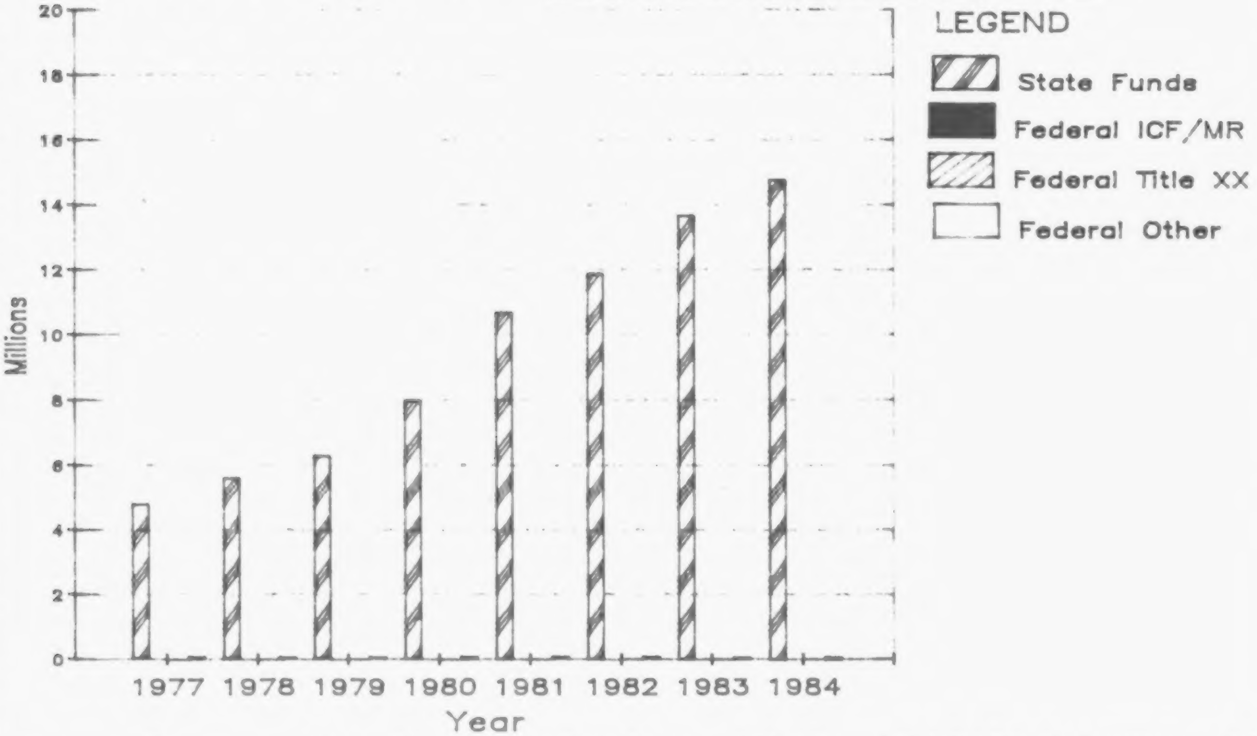


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984.

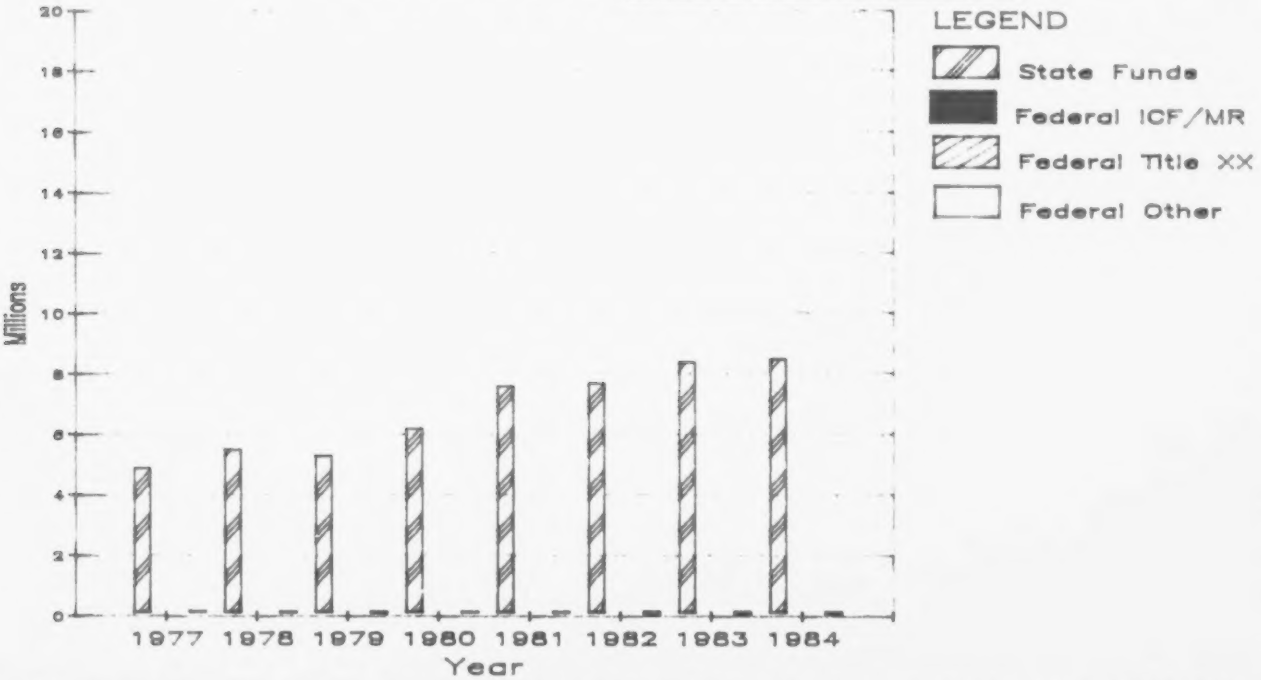
WYOMING

MR/DD Expenditures for *Institutional* Services: A Comparison of State & Federal Funding

FY 1977–1984, *In Unadjusted Dollars*



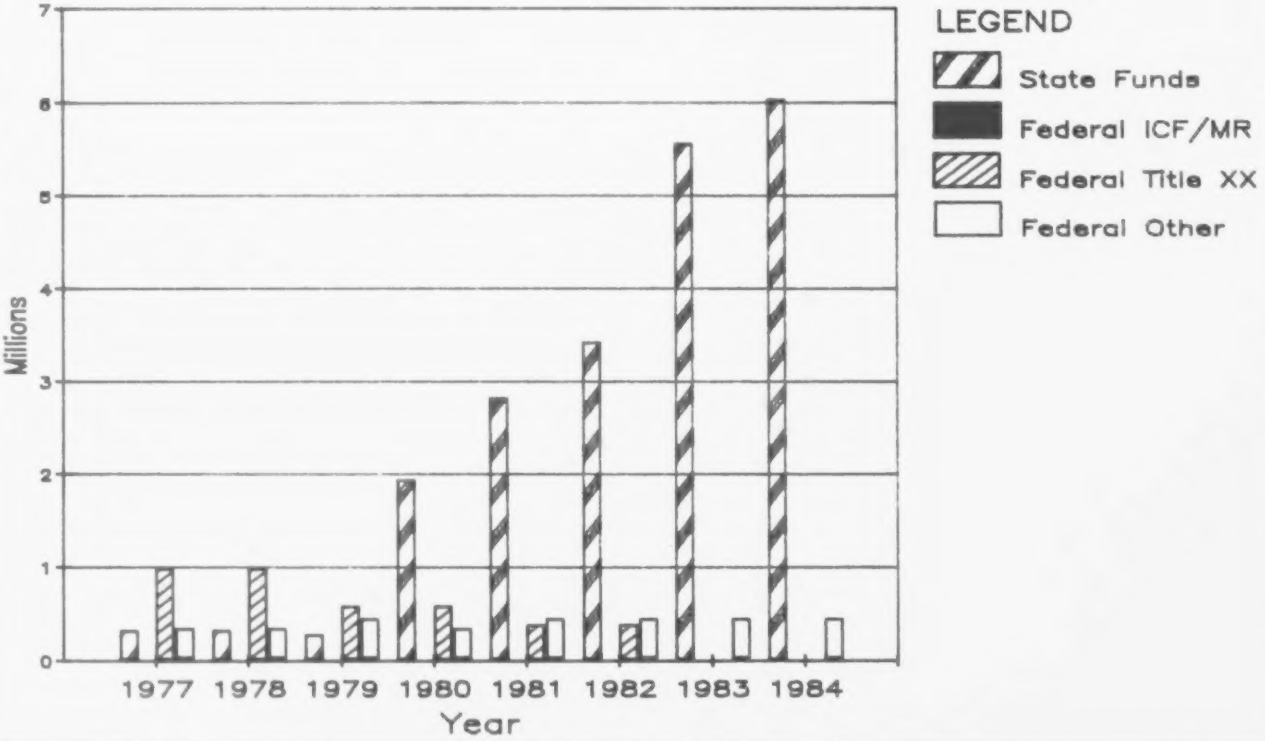
FY 1977–1984, *In 1977 Dollars*



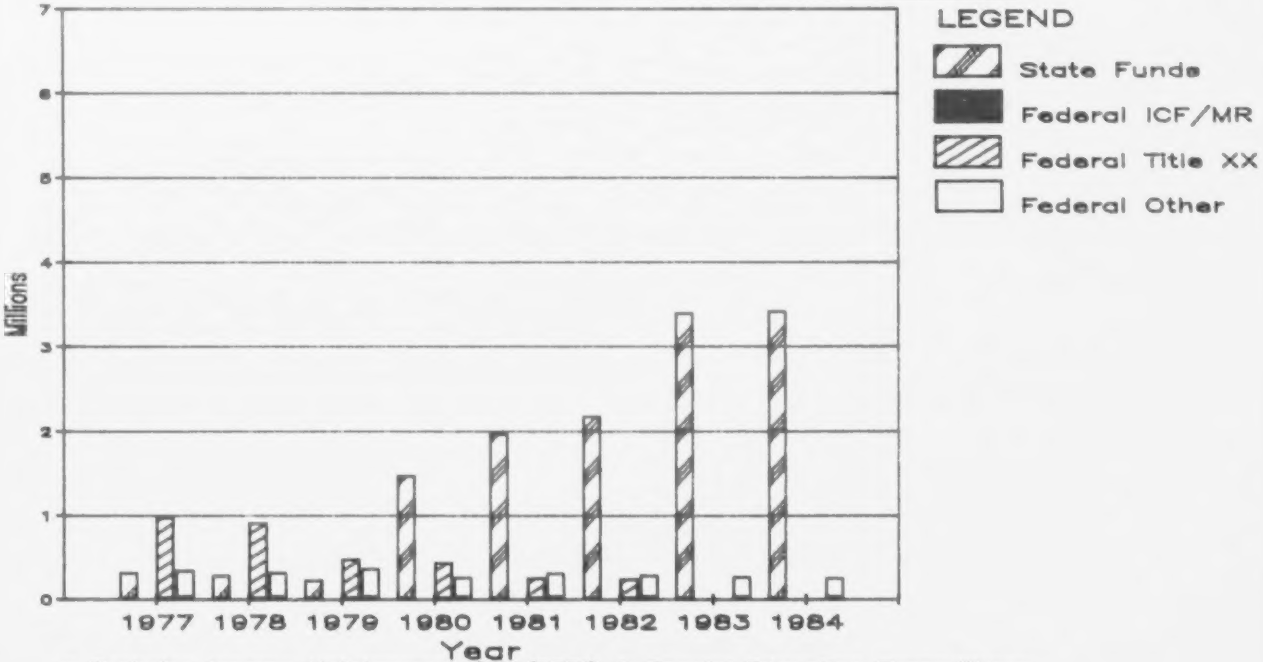
Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

MR/DD Expenditures for *Community** Services: A Comparison of State & Federal Funding FY 1977–1984, *In Unadjusted Dollars*



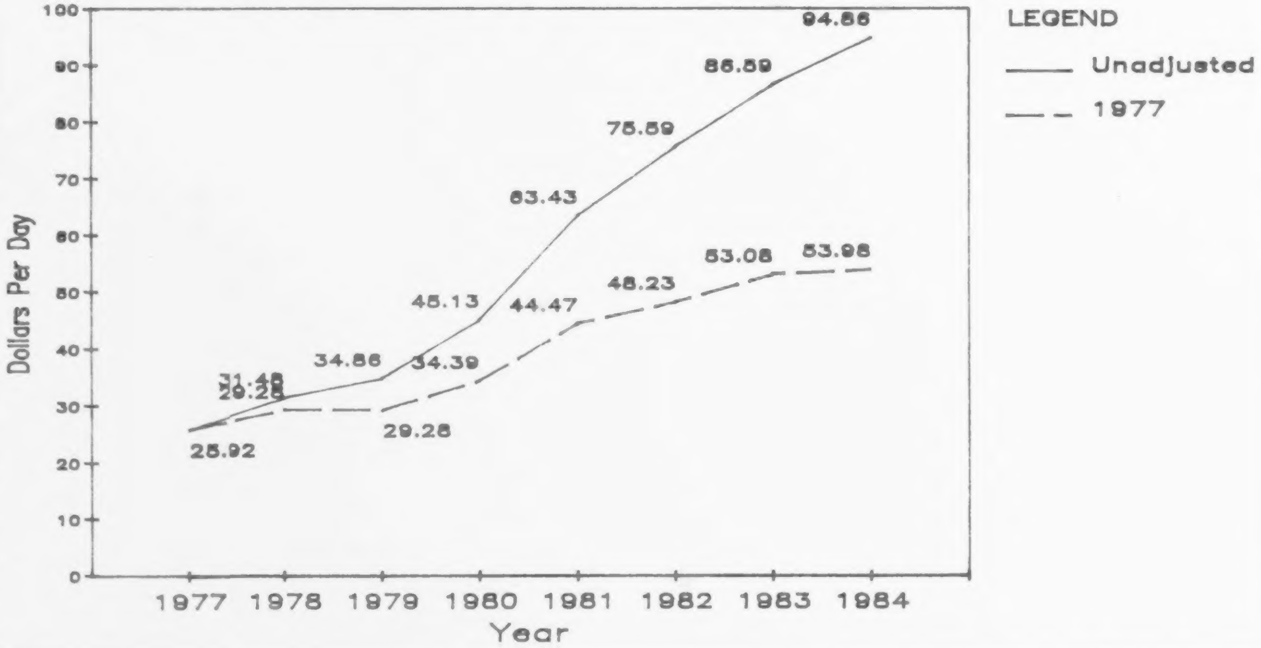
FY 1977–1984, *In 1977 Dollars*



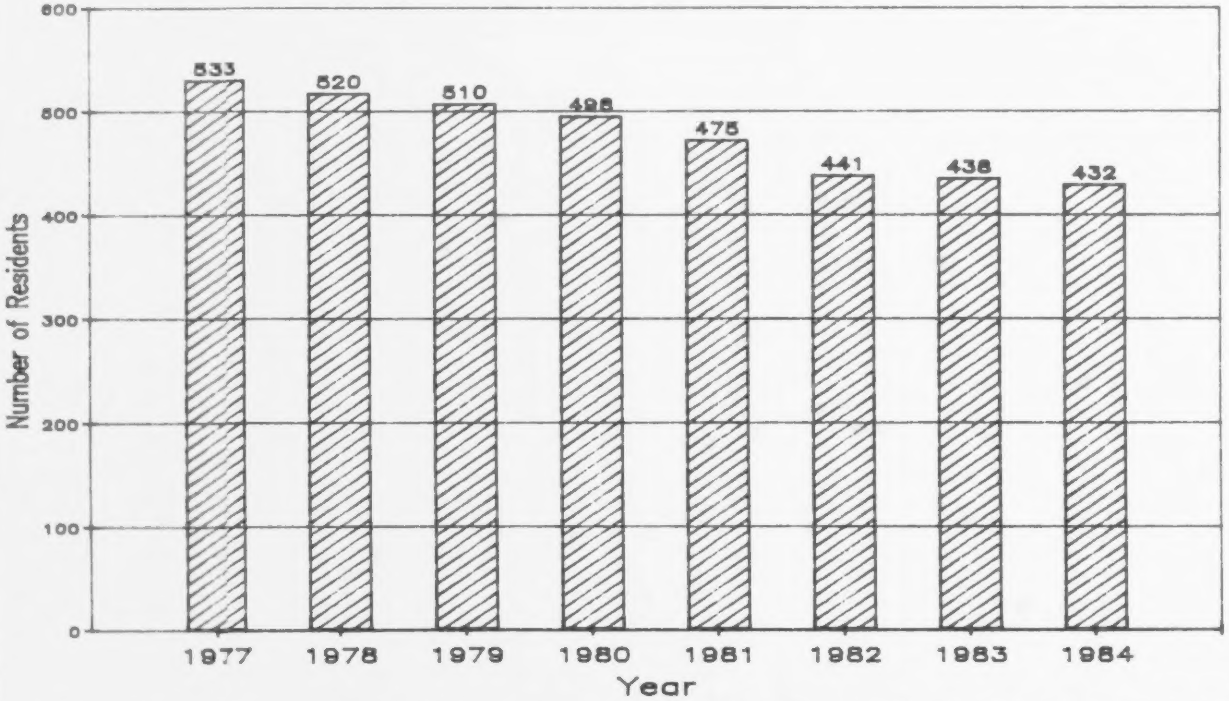
* Excludes Income Maintenance (SSI/SSDI) & Special Education Expenditures

Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING
Daily Expenditures Per Resident in
Public MR/DD Institutions: FY 1977–84
In Unadjusted & 1977 Dollars



Average Daily Residents in Institutions
FY 1977–1984



Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

WYOMING

TECHNICAL NOTES ON THE ACCOMPANYING CHARTS

I. GENERAL INFORMATION

1. Administrative Organization: MR/DD community services are administered by the Department of Health and Social Services under the leadership of the DD Program Manager, who reports to the Director of Community Programs for the Department. There is one state MR/DD institution which is overseen by a separate administrative entity, the Board of Charities and Reform. The Board also has administrative responsibility for 11 other state facilities for mental health and corrections. There was a departmental reorganization in 1980 at which time the Community Programs Division was created. MR/DD, Mental Health, and Alcohol programs were made subdivisions.

2. Budget Format: The sections of Wyoming's State Budget that pertain to MR/DD services are as follows:

   A. Department of Health & Social Services
      - Total By Program
        - Mental Health & Retardation
        - Developmental Disabilities (FY `77-`79)
        - Community Services (FY `80-`84)
      - Total By Services
        - Personal Services
        - Supportive Services
        - etc.
      - Means of Funding
        - General Fund
        - Earmarked
        - Federal
        - Trust & Agency Fund

   B. Board of Charities & Reform
      - State Training School
        - Total By Program
          - Administration
          - Supportive Services
          - Health Services
          - Rehabilitative Service
          - Federal Assistance
          - Capital Outlay
        - Total By Services
        - Means of Funding
          - General Fund
          - Federal
          - Earmarked

3. Note on Data Sources: Wyoming has a biennial budget. Inspection of the State Budget for FY 1977-84 revealed that to obtain actual expenditures for each fiscal year, state personnel had to be contacted.

II. INSTITUTIONAL SERVICES

4. Institutional Services refers to expenditures for the "State Training School," which is reported as a separate line item in the budget. Individual fiscal year figures were obtained from Mr. Joe Poe, Business Manager for the Training School, and his assistant, Jeannette Carey (telephone, 10/25/83). The population of the facility has steadily diminished and now serves more severely handicapped residents. The end of FY population has been:

1977 - 533
1978 - 520
1979 - 510
1980 - 498
1981 - 475
1982 - 441
1983 - 438
1984 - 432

(Source: Jeannette Carey, State Training School, telephone, 6/28/84.)

5. Title XIX. Wyoming does not receive any ICF/MR funds. The State Training School is currently not certified under ICF/MR regulations.

6. Other Federal Funds include Title I education monies from FY `77-`84, Deaf-Blind program funds from FY `77-`82, and ESEA Title VI B from FY `80-`83.

III. COMMUNITY SERVICES

7. Community Services consists of residential and day services for adult clients and home and center-based day services for pre-school age clients. (The school-age individuals, 6-20 years old, are served by Department of Education programs.) A 10% local match has been required for all state-supported community programs since prior to FY `77. These matching dollars are not reported in the state budget and are not included in our figures. Detail on the DD portion of community services programs was supplied by Steve Zimmerman, DD Program Manager (telephone, 10/17/83).

8. State General Funds support for community programs has increased significantly in recent years. In FY `77-`79, the State DD funds consisted almost entirely of matching funds for Title XX federal dollars.

9. Title XIX: There are no ICF/MR Title XIX funds in Wyoming.

10. Title XX. Title XX was a major funding source for community programs in the early years of our study. However, when the federal Social Services Block grant replaced Title XX, DD programs no longer received any of these federal dollars, according to Zimmerman (10/17/83).

11. Other Federal Funds include an estimate of Title I education dollars which flow through the Deparment of Education for pre-school age children who are served by the Deparment of Health and Social Services.

The DD Program Manager estimated $200,000 per year of Title I monies were deployed for this purpose. In addition, DD Council funds are included here. Wyoming is a minimum funded state, so amounts of DDSA funds included in this line are:

FY `77--$150,000
FY `78-- 150,000
FY `79-- 252,033
FY `80-- 252,492
FY `81--$250,000
FY `82-- 250,000
FY `83-- 250,000
FY `84-- 250,000

DDSA figures for FY `77 -`80 were supplied by the Budget Office, Administration for Developmental Disabilities, DHHS, Washington, D.C., Nancy Stipa (telephone, 10/18/83).

PART THREE

SUPPLEMENTARY CHART SERIES

Part Three contains six pages of Supplementary Charts. Each chart is accompanied by a brief description of the format, as well as a description of the process utilized to determine estimated expenditures for mentally retarded individuals. It is stressed that, unlike all other charts in this document, data for the Supplementary Charts were based on Federal Government, rather than state, sources. The three programs which are presented in the Supplementary Chart Series are:

- Supplemental Security Income (SSI)
- Social Security Disability Insurance (SSDI)
- Public Law 94-142, Education for All Handicapped Children Act

Supplemental Security Income

1. Estimated Federal & State SSI Payments to Mentally Retarded Individuals in the United States: FY 1977-1984. . . . . Page 877

This chart is in two parts. At the top, cluster bars depict each year's estimated SSI payments to mentally retarded individuals in the U.S.--in Unadjusted Dollars--for Federal SSI and State SSI Supplementation. The bottom half of the chart represents the same payments, but adjusted to represent constant 1977 dollar values.

The level of SSI payments to retarded individuals was estimated on the basis of an assumption that 25% of all blind and disabled SSI recipients were mentally retarded. This calculation was based on the recommendation of Mr. Jack Schmulowitz, Chief of Statistical Analysis, Office of Research, Statistics and International Policy, Social Security Administration (SSA). Mr. Schmulowitz's recommendation was based on two internal utilization studies. For additional information on the computation of the SSI estimates, please consult Monograph Number Six of the Institute's Public Policy Monograph Series. See specifically the section analyzing Federal MR/DD Expenditures on a Program by Program basis.

State SSI supplements include state administered and Federally administered state supplements. In 1984, 23 states and the District of Columbia had federally administered state supplements, 22 states had state administered state supplements, 3 states had both state and Federally administered supplements, and two states (Texas and West Virginia) did not supplement SSI.

State-by-state payment data for Federal SSI and all state supplements for Blind and Disabled SSI recipients were provided by SSA. All data are for calendar years.

2. Estimated Federal & State SSI Payments to Mentally Retarded Individuals in the United States: 1984, Ranked By State. . .page 878

This chart, displayed in Unadjusted Dollars, represents the relative ranking of all states and the District of Columbia in total SSI payments issued to mentally retarded individuals in 1984. Each state's bar represents the year's total payments, and the bar is subdivided to show the portion of total payments contributed by Federal SSI funds, and by State Supplementation. Because of the great variation in size of state SSI populations, it was necessary to display the states in four groups with four different Y-Axes. (The states are displayed this way for clarity only, and not to imply any service quality differential.)

Supplementation levels provided by several states do not appear on this chart because the supplement amounts were too small to be registered (Arkansas, Georgia, Kansas, Louisiana, Mississippi, North Dakota, Ohio, South Dakota, and Tennessee); or because the state supplementation data was not available from SSA (Maryland, New Mexico, and Utah).

Social Security Disability Benefits

3. Estimated SSDI Benefits for Mentally Retarded Beneficiaries in the United States: 1977-84, in Unadjusted & 1977 Dollars. . . .page 879

In this chart, cluster bars depict each year's estimated SSDI benefits paid to mentally retarded beneficiaries in the U.S., in Unadjusted and 1977 Dollars. To estimate benefits for mentally retarded individuals paid under SSDI, we concentrated our analysis in the Adult Disabled Child beneficiary category. Disability applicant statistics reported diagnostic information on new SSDI applicants from 1957-'73. To estimate an MR participation rate for subsequent years, rates for 1971, '72, and '73 were averaged, yielding a figure of 68%. This statistic was then applied to total annual Adult Disabled Child benefit payment levels during the 1977-'80 period.

State-by-state MR estimates and projections for 1981-84 were reviewed by the SSA, Office of Disability, Division of Disability Studies. In estimating the 1981-84 MR benefits, SSA staff recommended increasing the MR participation percentage to 72% of total Adult Disabled Child beneficiaries. The participation rate for retarded persons has steadily grown from 45% in 1957, when benefits for Adult Disabled Children were initiated.

4. Estimated SSDI Benefits for Mentally Retarded Beneficiaries: 1984, Ranked By State. . . . . .page 880

This chart, presented in Unadjusted Dollars, displays the relative ranking of the 50 states and the District of Columbia in total estimated SSDI benefits for retarded beneficiaries in 1984. The states are displayed in two groups with different Y-Axes and also ranked high to low. (This was done only for purposes of clarity, and not to imply any service quality differential.)

Special Education

5. Total Federal Appropriations for All Handicapped Students Under P.L. 94-142: FY 1977-84, In Unadjusted and 1977 Dollars . . . . page 881

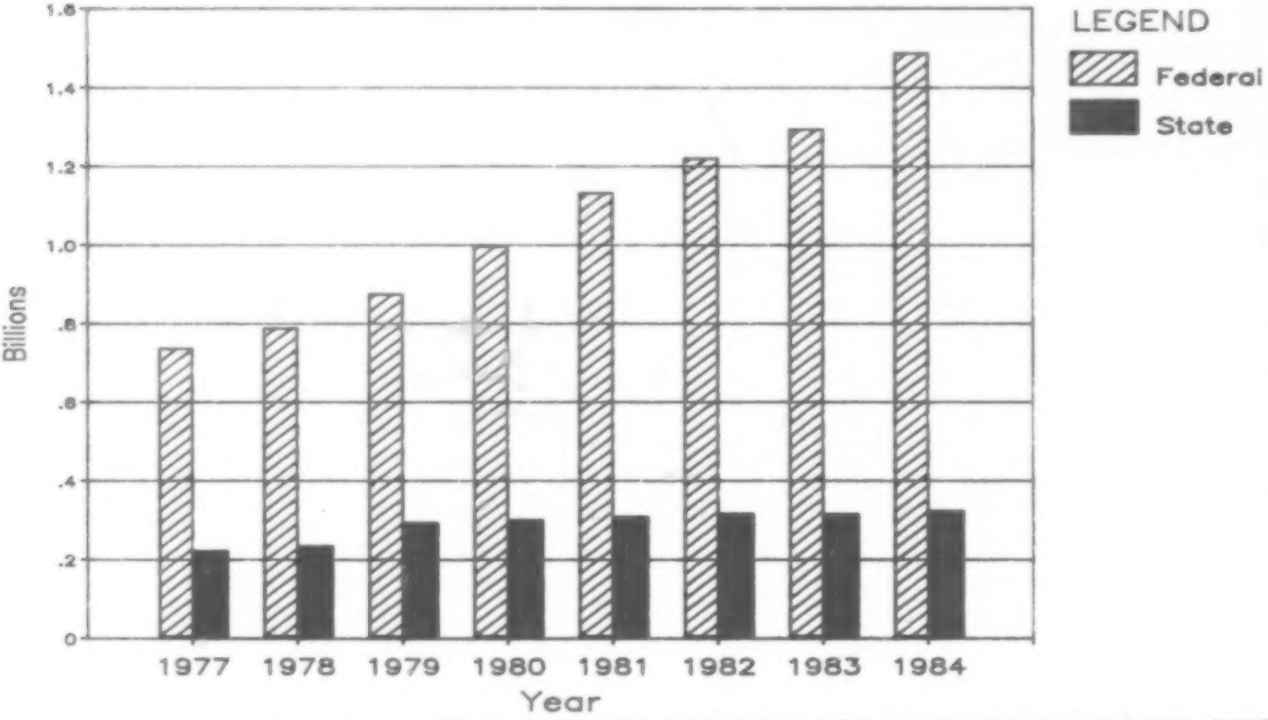
In this chart, cluster bars depict each year's total P.L. 94-142 appropriation for all handicapped students in the U.S. in Unadjusted and 1977 Dollars.

Source: Administrative records, U.S. Department of Education, Office of Special Education, Division of Assistance to the States.

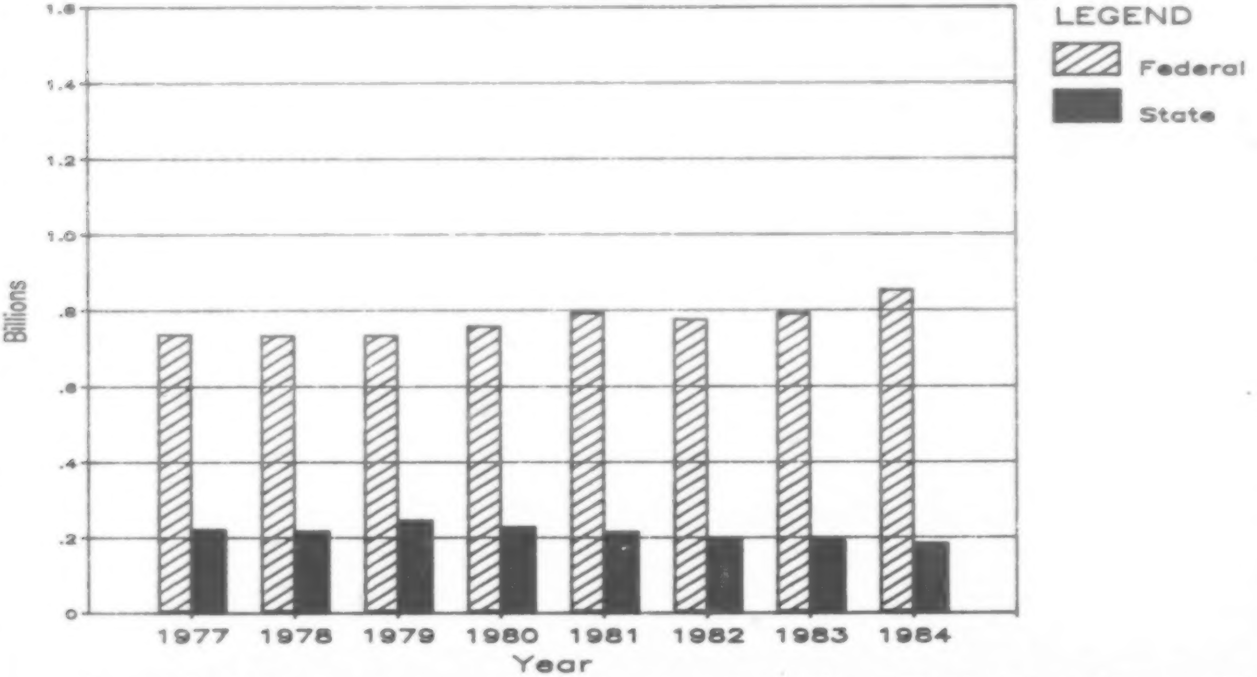
6. Estimated Federal Expenditures for Mentally Retarded Students Under P.L.94-142: FY 1977-84, In Unadjusted and 1977 Dollars. . . . . page 882

In this chart, cluster bars depict each year's estimated P.L. 94-142 expenditures supporting mentally retarded students. MR expenditure estimates were based on the annual December pupil counts, when each state classifies, by diagnosis, the students enrolled in special education. We obtained the percentage of mentally retarded pupils served and applied that percentage to total P.L. 94-142 expenditures. The resultant expenditure figure was multiplied by a factor of 1.4 to account for the greater expense of educating a mentally retarded special education student. [Based on J.S. Kakalik's study, The Cost of Special Education (Rand Corp., Santa Monica, Ca.,1981), we assumed that educating a mentally retarded child was approximately 40% more expensive than educating the "average" handicapped child.]

Estimated Federal & State SSI Payments to Mentally Retarded Individuals in the United States: 1977–1984, In Unadjusted Dollars

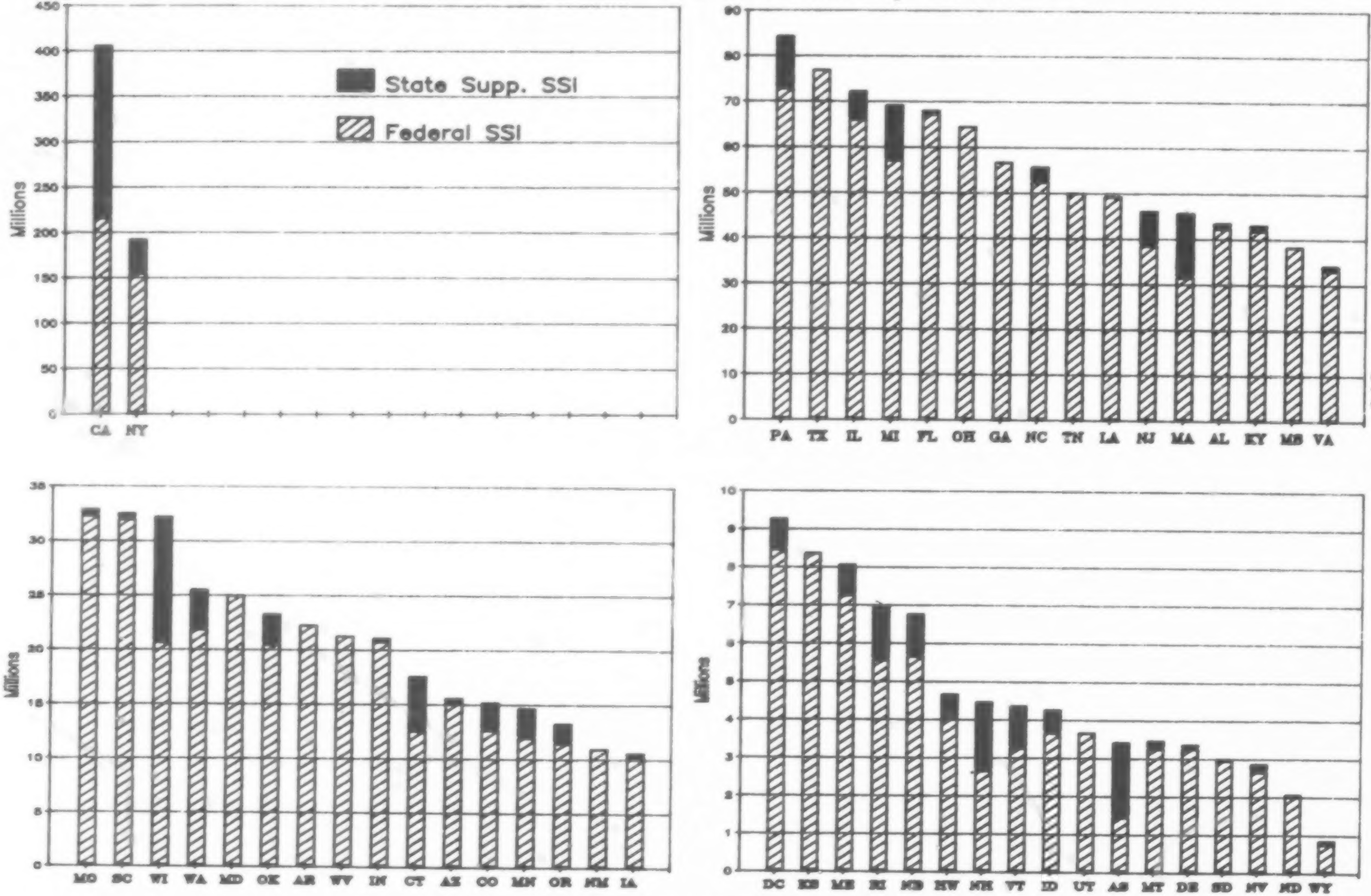


1977–1984, *In 1977 Dollars*



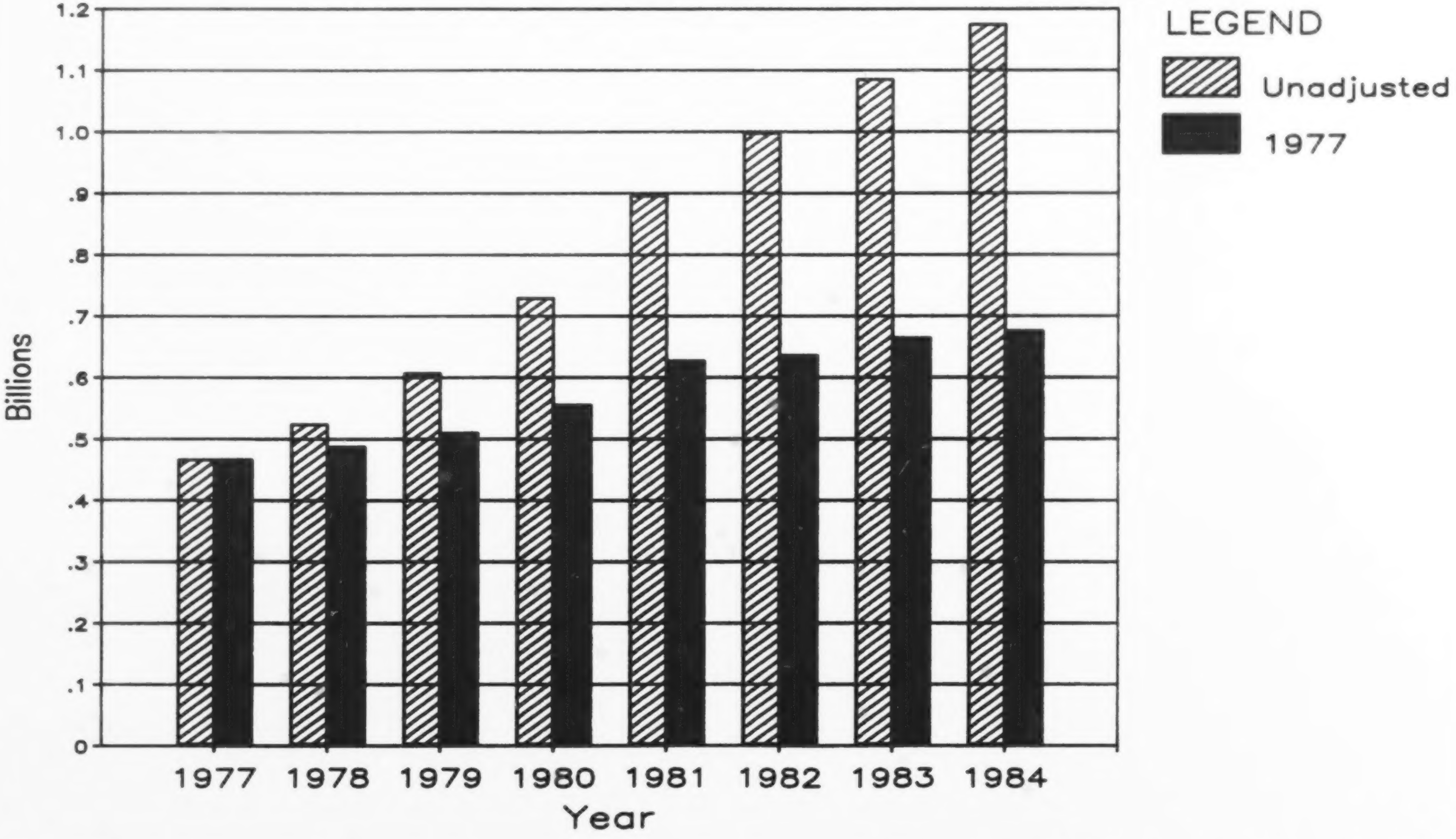
Source: Braddock, Howes, Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Estimated Federal and State SSI Payments to Mentally Retarded Individuals in the United States: 1984, Ranked by State



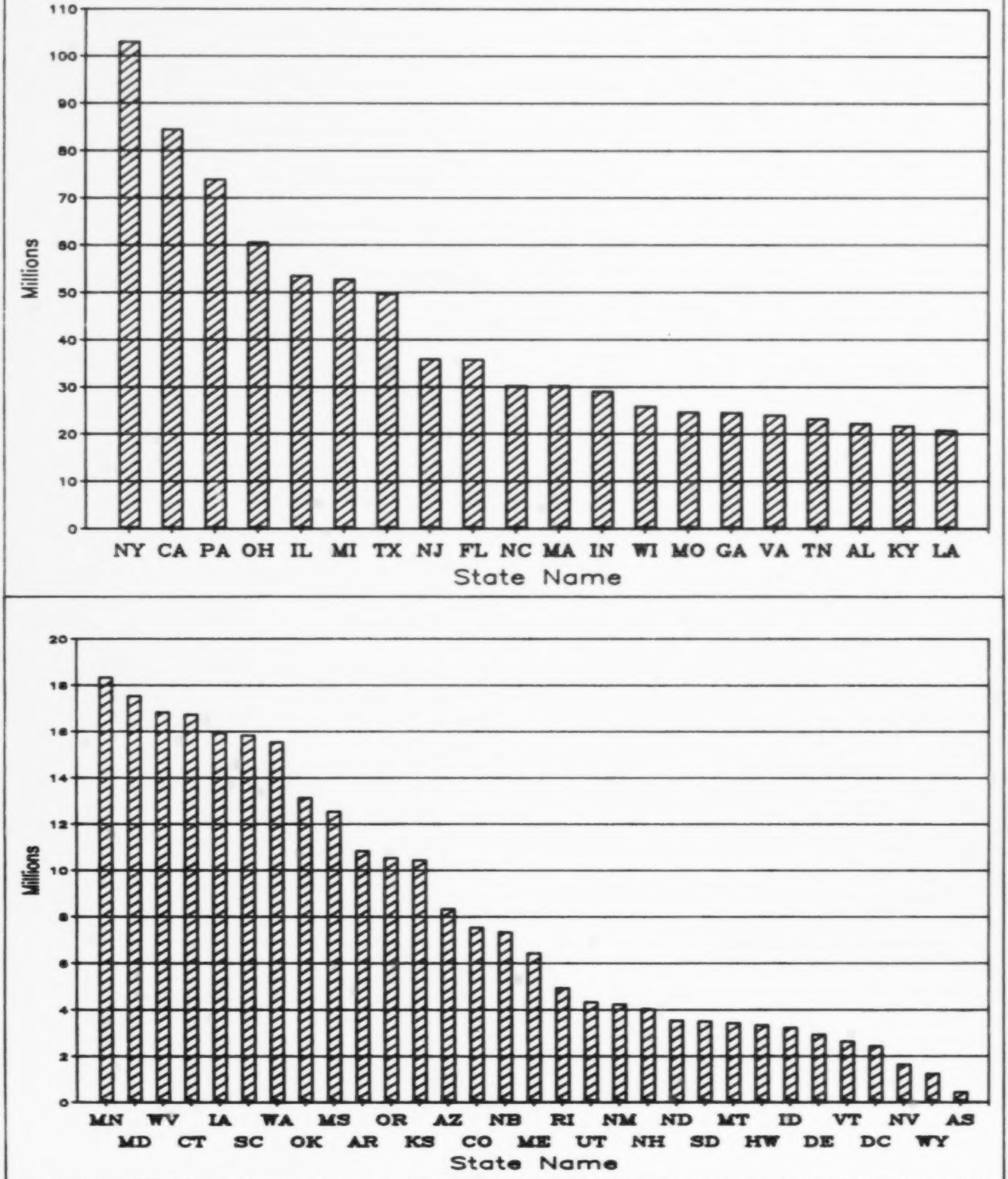
Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Estimated SSDI Benefits for Mentally Retarded Beneficiaries in the United States: 1977–84, In *__Unadjusted__* & *__1977__* Dollars



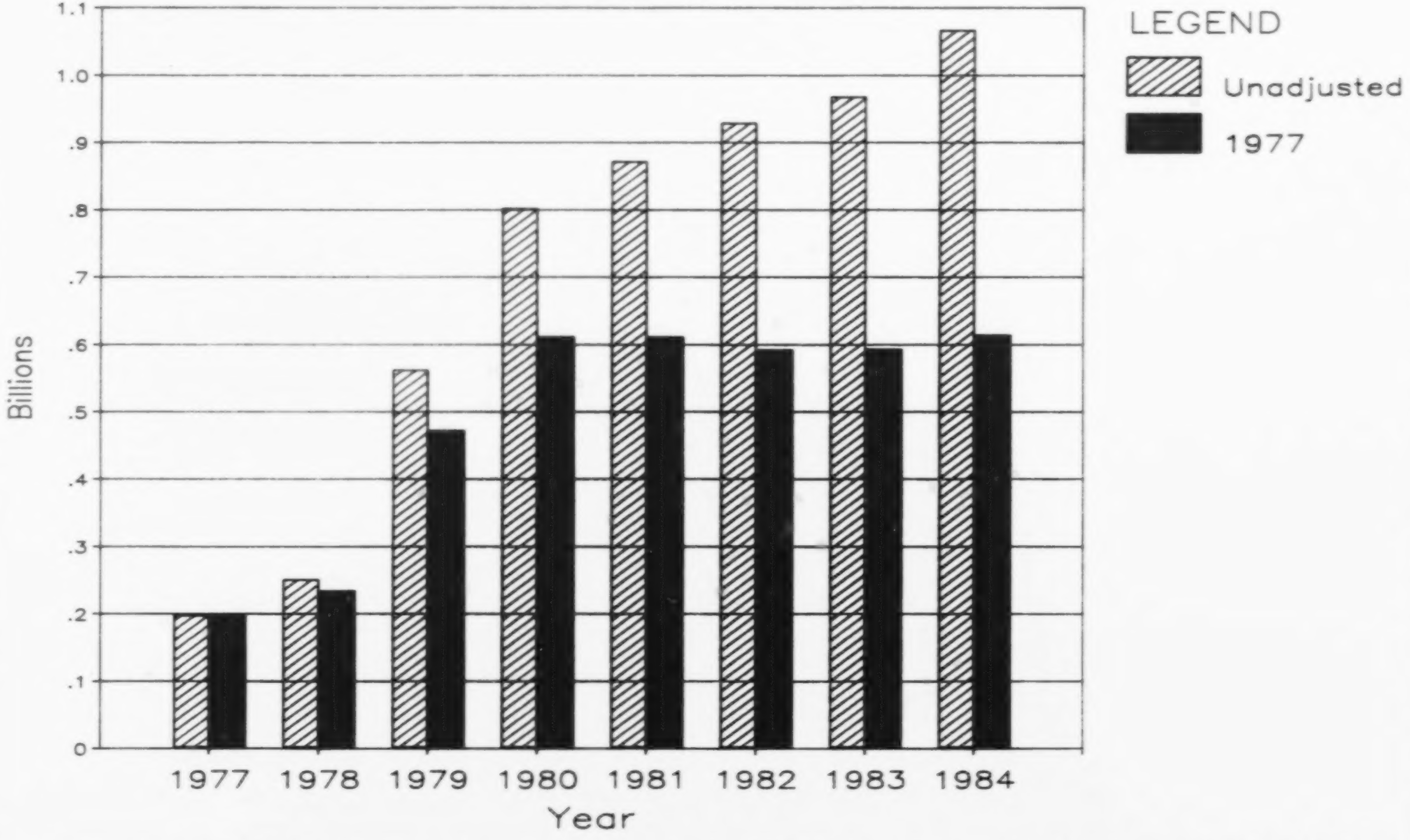
Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Estimated SSDI Benefits for Mentally Retarded Beneficiaries: 1984, Ranked by State

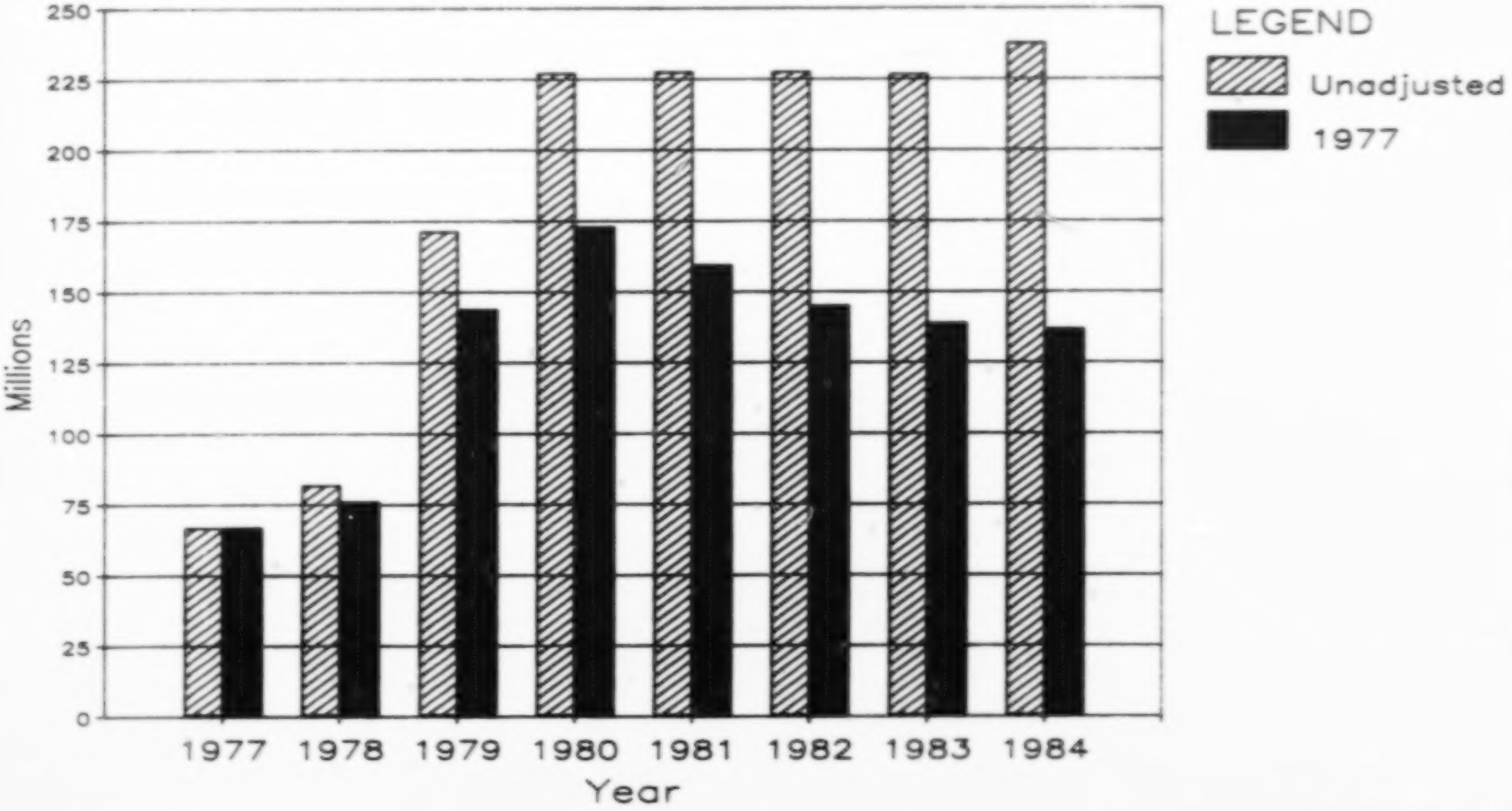


Source: Braddock, Howes, & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984

Total Federal Appropriations for All Handicapped Students Under P.L. 94–142: FY 1977–84, In *Unadjusted* & *1977* Dollars



Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984



Estimated Federal Expenditures for Mentally Retarded Students Under P.L. 94–142: FY 1977–1984, In *Unadjusted* & *1977* Dollars

Source: Braddock, Howes & Hemp, Expenditure Analysis Project, ISDD, U of IL at Chicago, 1984